DOCUMENT RESUME

ED 197 051 CE 025 533

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TITLE Performance Evaluation Workshop for In-Service Managers. Module 2: Methods of Performance Evaluation. The Urban Management Curriculum Development Project, Package XIV.

INSTITUTION National Training and Development Service for State and Local Government, Washington, D.C.

SPONS AGENCY Department of Housing and Urban Development, Washington, D.C. Office of Policy Development and Research.

PUB DATE [80]

NOTE 117p.: Some pages will not reproduce well due to light print. For related documents see CE 025 532-535.

EDRS PRICE MF01/PC05 Plus Postage.

DESCRIPTORS Adult Education: Course Descriptions: Critical Incidents Method: *Evaluation Methods: Higher Education: Inservice Education: *Job Performance: Learning Modules: *Management by Objectives: *Management Development: Objectives: *Personnel Evaluation: Personnel Management: Pretests Posttests: *Staff Development: Systems Approach: Teaching Guides: Visual Aids

IDENTIFIERS *Performance Appraisal

ABSTRACT

This is the second module in a four-module training package for use in inservice seminars or workshops on performance appraisal and employee development. Module 2 concentrates on different methods of performance evaluation, including essay, ranking, forced distribution, nonanchored rating scale, weighted checklist, forced choice, critical incident, and behavioral anchor. Rationale, procedures required for developing each method, and their strengths and weaknesses are presented. Selection of a system is discussed in terms of goals and objectives of an organization's performance evaluation system. The module concludes with a series of exercises on developing, analysing, and rating critical incidents. The module includes both instructor and student manuals. The instructor's manual consists of two major parts. Details of Workshop contains the following information: objectives, time needed, agenda and time allocation, resources and materials needed, and bibliography. The second part is the Module Outline for Instructor with copies the transparencies needed. The participant's manual contains copies of all materials the student will use, including the pre/post-test and copies of all transparencies. An answer key for the test is provided. (YLB)

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COMPONENT OF MODULE: INSTRUCTOR MANUAL

MODULE NO.: TWO

MODULE TITLE: METHODS OF PERFORMANCE EVALUATION

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ACKNOWLEDGEMENTS

Throughout this training program we stress that performance evaluation begins and ends with behavior -- what the person has done or is actually doing. Without behavior there can be no performance. In another context we might have stressed that actions speak much more loudly than words.

Now we wish to acknowledge the words, actions, and behavior of the many practitioners and/or scholars who assisted us in the development of this performance evaluation training program.

Professors Fred Fiedler, Patrick Fleenor, and Gary Latham provided the curricular expertise for the project. Jack Cartwright and Robert Morton analyzed the material from a practitioner's point of view. The managers who participated in the tests of the training package provided both comments and data used in revising the material. The Washington Criminal Justice Training Commission, King County, and City of Palo Alto coordinated the testing of the package. And the National Training and Development Service staff fulfilled their staff function well.

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I. INTRODUCTION

THIS MODULE OF THE PERFORMANCE EVALUATION WORKSHOP CONCENTRATES ON THE DIFFERENT METHODS OF PERFORMANCE EVALUATION. EACH OF THE FOLLOWING PERFORMANCE EVALUATION TECHNIQUES IS PRESENTED: ESSAY, RANKING, FORCED-DISTRIBUTION, NON-ANCHORED RATING SCALE, WEIGHTED CHECKLIST, FORCED-CHOICE, CRITICAL INCIDENT, AND BEHAVIORAL ANCHOR. THE RATIONALE BEHIND EACH METHOD AS WELL AS THE PROCEDURES REQUIRED FOR DEVELOPING EACH ARE PRESENTED. IN ADDITION, THE STRENGTHS AND WEAKNESSES OF EACH ARE PRESENTED. THE SELECTION OF THE "BEST" PERFORMANCE EVALUATION SYSTEM FOR A PARTICULAR ORGANIZATION IS DISCUSSED IN TERMS OF THE PARTICULAR GOALS AND OBJECTIVES ESTABLISHED BY THAT ORGANIZATION FOR ITS PERFORMANCE EVALUATION SYSTEM. THE MODULE CONCLUDES WITH A SERIES OF EXERCISES ON DEVELOPING, ANALYZING, AND RATING CRITICAL INCIDENTS.

II. DETAILS OF WORKSHOP

A. COURSE TITLE: PERFORMANCE EVALUATION WORKSHOP FOR IN-SERVICE MANAGERS

B. MODULE: MODULE TWO -- METHODS OF PERFORMANCE EVALUATION

C. OBJECTIVES: BY THE CONCLUSION OF MODULE TWO PARTICIPANTS WILL BE ABLE TO:

- LIST THE DIFFERENT PERFORMANCE EVALUATION METHODS
- IDENTIFY STANDARDS FOR CRITIQUING PERFORMANCE EVALUATION FORMS
- DESCRIBE THE STEPS INVOLVED IN DEVELOPING THE FOLLOWING PERFORMANCE EVALUATION INSTRUMENTS:
    - A. WEIGHTED CHECKLIST
    - B. CRITICAL INCIDENT
    - C. BEHAVIORAL ANCHOR
- GENERATE CRITICAL INCIDENTS
- CATEGORIZE AND CODE CRITICAL INCIDENTS

D. TIME NEEDED: FIVE HOURS

E. AGENDA AND TIME ALLOCATION

00:00 - 00:15	MODULE OVERVIEW/OBJECTIVES/INTRODUCTIONS
00:15 - 00:25	PRE-TEST
00:25 - 00:30	GOALS OF YOUR PERFORMANCE EVALUATION SYSTEM
00:30 - 00:50	STANDARDS FOR PERFORMANCE EVALUATION FORMS
00:50 - 01:20	CRITIQUE OF FORMS
01:20 - 01:30	BREAK
01:30 - 02:00	PERFORMANCE EVALUATION METHODS
02:00 - 02:10	FORCED DISTRIBUTIONS

E. AGENDA AND TIME ALLOCATION -- CONTINUED

02:10 - 02:25	FORCED CHOICE
02:25 - 02:40	WEIGHTED CHECKLIST
02:40 - 02:55	CRITICAL INCIDENT
02:55 - 03:05	BREAK
03:05 - 03:20	BEHAVIORAL ANCHOR
03:20 - 03:35	GENERATE CRITICAL INCIDENTS
03:35 - 03:50	CATEGORIZE CRITICAL INCIDENTS
03:50 - 04:00	ASSIGN SCALE VALUES
04:00 - 04:30	QUESTIONS AND DISCUSSION
04:30 - 04:45	POST-TEST
04:45 - 05:00	SCORE PRE-TEST AND POST-TEST

F. RESOURCES AND MATERIALS NEEDED

IF THE INSTRUCTOR HAS NOT PURCHASED THE OVERHEAD TRANSPARENCIES, THE INSTRUCTOR WILL NEED ACCESS TO AN I.B.M., XEROX, THERMOFAX, OR OTHER COPYING MACHINE THAT CAN PRODUCE TRANSPARENCIES. IN ADDITION THE INSTRUCTOR WILL NEED:

- OVERHEAD PROJECTOR
- PEN/PENCIL FOR OVERHEAD PROJECTOR
- PROJECTION SCREEN
- BLANK TRANSPARENCIES OR ACETATE ROLL
- EASEL, PAPER, MARKING PENS
- ONE STUDENT MANUAL FOR EACH PARTICIPANT
- ONE DECK OF CRITICAL INCIDENT CARDS FOR EACH PARTICIPANT

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III. MODULE OUTLINE FOR INSTRUCTOR

1. PARTICIPANT INTRODUCTION AND EXPECTATIONS

- INSTRUCTOR INTRODUCES HIMSELF/HERSELF
- ASK PARTICIPANTS TO:
  - (1) INTRODUCE THEMSELVES
  - (2) SHARE THEIR EXPECTATIONS FOR THE WORKSHOP

PLACE OVERHEAD SLIDE 2.6 ON THE PROJECTOR.

- INSTRUCTOR SUMMARIZES EXPECTATIONS MENTIONED BY THE PARTICIPANTS

NOTE -- IF MODULE TWO IS IMMEDIATELY PRECEDED BY MODULE ONE, OMIT THE PARTICIPANT INTRODUCTIONS AND EXPECTATIONS.

WORKSHOP EXPECTATIONS

"WHAT WOULD YOU LIKE TO GET OUT OF THIS WORKSHOP?"

2. PURPOSE OF MODULE TWO

PLACE OVERHEAD SLIDE 2.8 ON THE PROJECTOR.

- READ PURPOSE STATED ON SLIDE

PURPOSE

TO PRESENT THE MAJOR PERFORMANCE EVALUATION METHODS

3. OBJECTIVES FOR MODULE TWO

PLACE OVERHEAD SLIDE 2.10 ON THE PROJECTOR.

- READ OBJECTIVES LISTED ON SLIDE
- MENTION THAT THIS MODULE IS THE SECOND OF FOUR MODULES ON PERFORMANCE EVALUATION

MODULE TWO OBJECTIVES

BY THE CONCLUSION OF MODULE TWO PARTICIPANTS WILL BE ABLE TO:

- LIST THE DIFFERENT PERFORMANCE EVALUATION METHODS
- IDENTIFY STANDARDS FOR CRITIQUING PERFORMANCE EVALUATION FORMS
- DESCRIBE THE STEPS INVOLVED IN DEVELOPING THE FOLLOWING PERFORMANCE EVALUATION INSTRUMENTS:
    1. WEIGHTED CHECKLIST
    2. CRITICAL INCIDENT
    3. BEHAVIORAL ANCHOR
- GENERATE CRITICAL INCIDENTS
- CATEGORIZE AND CODE CRITICAL INCIDENTS

4. OTHER MODULES IN THE PERFORMANCE EVALUATION WORKSHOP

PLACE OVERHEAD SLIDE 2.12 ON THE PROJECTOR.

* READ TITLES OF OTHER MODULES

* MENTION THOSE MODULES WHICH THE PARTICIPANTS WILL BE COMPLETING OR ALREADY HAVE COMPLETED

* MENTION DATES AND TIMES FOR REMAINING MODULES

PERFORMANCE EVALUATION WORKSHOP

FOR IN-SERVICE MANAGERS

WORKSHOP SEQUENCE

MODULE ONE	PERFORMANCE EVALUATION SYSTEMS
MODULE TWO	METHODS OF PERFORMANCE EVALUATION
MODULE THREE	FORMULATING OBJECTIVES AND AVOIDING ERRORS
MODULE FOUR	EMPLOYEE FEEDBACK AND DEVELOPMENT

5. AGENDA FOR MODULE TWO

PLACE OVERHEAD SLIDE 2.14 ON THE PROJECTOR.

- READ AGENDA STATED ON SLIDE

AGENDA FOR MODULE TWO

- MODULE TWO OVERVIEW AND OBJECTIVES
- GOALS OF YOUR PERFORMANCE EVALUATION FORMS
- STANDARDS FOR PERFORMANCE EVALUATION FORMS
- CRITIQUE OF VARIOUS PERFORMANCE EVALUATION FORMS
- OVERVIEW OF DIFFERENT PERFORMANCE EVALUATION METHODS
- "VERY SUBJECTIVE" EVALUATION METHODS
- "LESS SUBJECTIVE" EVALUATION METHODS
- GENERATING CRITICAL INCIDENTS
- CATEGORIZING CRITICAL INCIDENTS
- QUESTIONS AND DISCUSSION

6. PRE-TEST

- REFER PARTICIPANTS TO THE PRE-TEST IN THEIR MANUALS. STRESS THAT THE PURPOSE OF THIS PRE-TEST IS NOT TO EVALUATE THEM BUT RATHER TO MAKE EACH PARTICIPANT AWARE OF HIS OR HER OWN LEVEL OF EXPERTISE IN THE MATERIAL TO BE COVERED IN THIS MODULE.

IF THE INSTRUCTOR WISHES TO USE THE PRE-TEST AND THE POST-TEST AS MEASURES OF PARTICIPANT LEARNING AND IF THERE IS NO REASON TO IDENTIFY INDIVIDUAL PARTICIPANTS BY NAME, ASK THE PARTICIPANTS TO MAKE UP A FOUR-DIGIT NUMBER AND TO PLACE THIS NUMBER IN THE UPPER RIGHT HAND CORNER OF THE PRE-TEST. IF YOU ARE USING THE PRE-TEST AND THE POST-TEST TO EVALUATE LEARNING, IT IS BEST TO COLLECT THE PRE-TESTS IMMEDIATELY AFTER THEY HAVE BEEN COMPLETED. IF YOU ARE USING THE PRE-TEST AS A MEANS OF SENSITIZING THE PARTICIPANTS TO THEIR OWN LEVEL OF EXPERTISE AND TO THE FORTHCOMING MATERIAL, THERE IS NO NEED TO COLECT THE PRE-TESTS.

IF THE INSTRUCTOR CHOOSES NOT TO USE THE PRE-TEST, TELL THE PARTICIPANTS THAT THEY WILL NOT BE COMPLETING THE PRE-TEST.

LIMIT THE PRE-TEST TIME TO 15 MINUTES.

7. GOALS OF YOUR PERFORMANCE EVALUATION SYSTEM

- BEFORE PROCEEDING WITH THE DEVELOPMENT OF PARTICULAR PERFORMANCE EVALUATION SYSTEMS, WE SHOULD FIRST RETURN TO A TOPIC DISCUSSED IN MODULE ONE -- THE GOALS OF YOUR PERFORMANCE EVALUATION SYSTEM. THE GOALS OF YOUR SYSTEM SHOULD DICTATE, TO A GREAT DEGREE, THE ACTUAL APPROACH AN ORGANIZATION WILL TAKE.

PLACE OVERHEAD SLIDE 2.17 ON THE PROJECTOR.

EXPLANATION OF SLIDE 2.17

Before selecting a performance evaluation system, we must first articulate exactly what it is we want that performance evaluation system to do.

- GOALS RESTRICTED TO RATER-RATEE -- Are we interested only in providing the opportunity (or forcing) supervisors and subordinates to get together on a regular basis to discuss the subordinate's performance? Developmental plans can be constructed within this framework. Counseling can occur.
- NOT RESTRICTED TO RATER-RATEE -- Do we want to make various comparisons among raters, ratees, departments, units, etc.? The purposes of such comparisons might include any or all of the following:

  * Merit pay
  * Training programs
  * Promotion
  * E.E.O. statistics
  * Identifying rater errors

GOALS OF YOUR PERFORMANCE EVALUATION SYSTEM

I. RESTRICTED TO RATER-RATEE

- CREATE AN OPPORTUNITY FOR DIALOGUE
- FEEDBACK
- PRODUCE A DEVELOPMENT PLAN (OBJECTIVES)

II. NOT RESTRICTED TO RATER-RATEE

A. COMPARISONS AMONG INDIVIDUALS

- IDENTIFICATION OF TRAINING NEEDS
- MERIT PAY INCREASES
- PROMOTION
- FEEDBACK ON RELATIVE STANDING

B. COMPARISONS AMONG DEPARTMENTS/UNITS

- FEEDBACK ON RELATIVE STANDING OF UNITS
- E.E.O. ANALYSES
- IDENTIFICATION OF TRAINING NEEDS

C. COMPARISONS AMONG RATERS

- IDENTIFICATION OF "EASY" AND "HARD" RATERS
- IDENTIFICATION OF RATER ERRORS

8. THINGS TO LOOK FOR IN A PERFORMANCE EVALUATION FORM

- NOW WE ARE READY TO STUDY VARIOUS PERFORMANCE EVALUATION FORMS THAT ARE FOUND IN MANY ORGANIZATIONS. IN OUR CRITIQUE OF FORMS, WE WILL ASSUME THAT WE WANT TO ACHIEVE ALL OF THE GOALS PRESENTED ON SLIDE 2.17.

PLACE OVERHEAD SLIDE 2.20 ON THE PROJECTOR.

EXPLANATION OF SLIDE 2.20

- THE NUMBER OF CRITERIA -- How many criteria are included on the performance evaluation form? Usually between 15 and 25 criteria are required to allow the rater to give good feedback.
- THE SPECIFICITY OF THE CRITERIA-- As the number of criteria decreases, the criteria usually become more general. An extreme example of this is the system that includes only two criteria: quantity and quality of work. Obviously these are important criteria, but just as obviously, they are very general criteria. A good criterion is specific.
- THE PRESENCE OF A SCALE -- Are raters given a scale of some sort (e.g., below standard, meets standard, above standard, etc.) to assist them in their ratings?
- THE NUMBER OF SCALE VALUES -- What options are the raters given? Some scales have only two points: Yes and No. Some scales have three, five, even seven points. The best scales usually have between five and nine scale points.
- THE "BALANCE" OF THE SCALE VALUES -- As we saw earlier, there should be a fairly symmetrical spread of performance in our organizations. This

EXPLANATION OF SLIDE 2.20 (Continued)

fact should be reflected in the scale values. The best approach is to have an equal number of "above standard" and "below standard" scale values.

- THE EXTENT OF ANCHORING -- Are raters left to their own discrection in defining "above standard" and "below standard" or are they provided with reference points. For example, if our criterion concerns attendance, a non-anchored scale would be as follows:

  ATTENDANCE: (1) Unsatisfactory
  (2) Needs Improvement
  (3) Meets standard
  (4) Above standard
  (5) Outstanding

  The rater is left to define what is meant by "Needs Improvement". If a person is absent once a month, what rating should that person receive? An anchored scale would resemble the following:

  ATTENDANCE: (1) More than four unexcused absences per month
  (2) Two to four unexcused absences per month
  (3) One unexcused absence per month
  (4) One unexcused absence every other month
  (5) No unexcused absences during rating period

  See Slide 2.21 for an example of anchoring.

- SPACE FOR COMMENTS -- Is space for comments provided?

- PLANNING/DEVELOPMENT COMPONENT -- Does the form include a section for outlining a developmental program for the employee?

- SIGNATURES OF RATER AND RATEE -- Are signatures required?

THINGS TO LOOK FOR IN A PERFORMANCE EVALUATION FORM

- THE NUMBER OF CRITERIA
- THE SPECIFICITY OF THE CRITERIA
- THE PRESENCE OF A SCALE
- THE NUMBER OF SCALE VALUES
- THE "BALANCE OF THE SCALE"
- THE EXTENT OF ANCHORING
- SPACE FOR COMMENTS
- THE PLANNING/DEVELOPMENT COMPONENT
- SIGNATURES OF RATER AND RATEE

TYPICAL RATING SCALE WITH NO ANCHORING

CRITERION: ATTENDANCE

1. UNSATISFACTORY
2. NEEDS IMPROVEMENT
3. MEETS STANDARD
4. ABOVE STANDARD
5. OUTSTANDING

EXAMPLE OF AN ANCHORED RATING SCALE

CRITERION: ATTENDANCE

1. MORE THAN FOUR UNEXCUSED ABSENCES PER MONTH
2. TWO TO FOUR UNEXCUSED ABSENCES PER MONTH
3. ONE UNEXCUSED ABSENCE PER MONTH
4. ONE UNEXCUSED ABSENCE EVERY OTHER MONTH
5. NO UNEXCUSED ABSENCES DURING RATING PERIOD

9. CRITIQUE OF A SAMPLE OF PERFORMANCE EVALUATION FORMS

- NOW LET'S APPLY THE MATERIAL WE HAVE JUST REVIEWED TO SOME ACTUAL PERFORMANCE EVALUATION FORMS. YOUR PARTICIPANT'S MANUAL INCLUDES SOME ACTUAL PERFORMANCE EVALUATION FORMS AND A CRITIQUE SHEET. YOU'LL HAVE A COUPLE MINUTES TO STUDY EACH FORM AND EVALUATE EACH FORM USING THE CRITIQUE SHEET.

AFTER APPROXIMATELY TWO MINUTES, ASK THE PARTICIPANTS FOR THEIR EVALUATION OF FORM A. FOLLOW THE SAME PROCEDURE FOR THE OTHER FORMS.

CRITIQUE SHEET

HOW TO USE THIS SHEET

STUDY EACH OF THE FORMS YOU HAVE BEEN GIVEN CONSIDERING THE FACTORS LISTED BELOW. USING THE SCORING GUIDE FOR CRITIQUE SHEET INCLUDED ON THE NEXT TWO PAGES, SCORE EACH OF THE SAMPLE PERFORMANCE EVALUATION FORMS. WRITE YOUR SCORE OF "0" OR "1" IN THE BOXES BENEATH EACH FORM.

FACTORS	FORM A.	FORM B.	FORM C.	FORM D.
1. NUMBER OF CRITERIA				
2. SPECIFICITY				
3. PRESENCE OF A SCALE				
4. NUMBER OF SCALE VALUES				
5. "BALANCE" OF THE SCALE				
6. EXTENT OF ANCHORING				
7. SPACE FOR COMMENTS				
8. PLANNING/DEVELOPMENT				
9. SIGNATURES				

COMMENTS ON FORM A.

COMMENTS ON FORM B.

COMMENTS ON FORM C.

COMMENTS ON FORM D.

SCORING GUIDE FOR CRITIQUE SHEET

1. NUMBER OF CRITERIA

   SCORE "0" IF THERE ARE FEWER THAN TEN OR MORE THAN TWENTY-FIVE CRITERIA

   SCORE "1" IF THERE ARE BETWEEN TEN AND TWENTY-FIVE CRITERIA

2. SPECIFICITY OF CRITERIA

   SCORE "0" IF CRITERIA ARE GENERAL, E.G., QUALITY OR QUANTITY OF WORK

   SCORE "1" IF CRITERIA REFER TO SPECIFIC BEHAVIORS, E.G., ABSEENTEEISM OR CARE OF EQUIPMENT

3. PRESENCE OF A SCALE

   SCORE "0" IF THERE IS NO SCALE, E.G., AN ESSAY-TYPE FORMAT

   SCORE "1" IF THERE IS A SCALE, EVEN A YES-NO SCALE

4. NUMBER OF SCALE VALUES

   SCORE "0" IF THERE ARE FEWER THAN FOUR OR MORE THAN TEN SCALE VALUES

   SCORE "1" IF THERE ARE BETWEEN FOUR AND TEN SCALE VALUES

5. "BALANCE" OF THE SCALE

   SCORE "0" IF THE SCALE IS NOT PERFECTLY BALANCED, I.E., IF THERE IS NOT AN EQUAL NUMBER OF "ABOVE AVERAGE" AND "BELOW AVERAGE"

   SCORE "1" IF THE SCALE IS PERFECTLY BALANCED

6. EXTENT OF ANCHORING

   SCORE "0" IF THE SCALE IS NOT ANCHORED AT ALL, E.G., IF THE RATER IS LEFT TO HIS/HER OWN DISCRETION IN DEFINING SUCH TERMS AS "AVERAGE" OR "ABOVE AVERAGE"

   SCORE "1" IF THE SCALE IS ANCHORED

SCORING GUIDE -- CONTINUED

7. SPACE FOR COMMENTS

   SCORE "0" IF THERE IS NO SPACE FOR COMMENTS

   SCORE "1" IF THERE IS SPACE FOR COMMENTS

8. PLANNING/DEVELOPMENT COMPONENT

   SCORE "0" IF THERE IS NO SPACE ALLOCATED FOR A DEVELOPMENTAL PLAN

   SCORE "1" IF SPACE IS ALLOCATED FOR A DEVELOPMENTAL PLAN

9. SIGNATURES

   SCORE "0" IF THERE IS NO SPACE FOR AN EMPLOYEE (RATEE) SIGNATURE

   SCORE "1" IF THERE IS SPACE FOR THE RATEE'S SIGNATURE

FORM A.

EMPLOYEE PERFORMANCE APPRAISAL

NAME OF EMPLOYEE	OFFICE	
SOCIAL SECURITY NUMBER	CLASS NUMBER & TITLE	SECTION
TIME PERIOD COVERED	TYPE OF APPRAISAL ANNUAL ☐ SPECIAL ☐	DATE OF REVIEW

I APPRAISAL OF PERFORMANCE:

A WAS THE REGULAR DAY TO DAY WORK DONE AS EXPECTED?

YES ☐ NO ☐ PARTIALLY ☐

B WERE THE MAJOR RESULTS REQUIRED OF THIS POSITION ACHIEVED?

YES ☐ NO ☐ PARTIALLY ☐

C TO WHAT EXTENT AND HOW WELL WERE THEY ACHIEVED?

D IF THERE WERE PROBLEMS WHAT ACTIONS WERE TAKEN?

E WHAT IMPROVEMENT IS NEEDED IN THIS AREA?

II APPRAISAL OF WORKING RELATIONSHIPS:

A HOW WELL DID THE EMPLOYEE ESTABLISH AND MAINTAIN RELATIONSHIPS WITH OTHER PEOPLE THAT WERE NECESSARY TO GETTING RESULTS IN THIS JOB?

B IF THERE WERE PROBLEMS WHAT ACTION WAS TAKEN?

C WHAT IMPROVEMENT IS NEEDED IN THIS AREA?

III EMPLOYEE DEVELOPMENT:

A LIST DEVELOPMENTAL OPPORTUNITIES PLANNED WITH THIS EMPLOYEE

1 FOR IMPROVEMENT ON PRESENT JOB

FORM A. -- CONTINUED

III EMPLOYEE DEVELOPMENT (CONT'D)

A. LIST DEVELOPMENTAL OPPORTUNITIES PLANNED WITH THIS EMPLOYEE:
2. FOR ADVANCEMENT:

IV SUMMARY APPRAISAL:

V EMPLOYEE COMMENTS:

A WHAT STEPS CAN YOU TAKE TO IMPROVE YOUR PERFORMANCE?

B WHAT ASSISTANCE DO YOU NEED FROM YOUR SUPERVISOR TO IMPROVE YOUR PERFORMANCE?

C WHAT ADDITIONAL TRAINING WILL ASSIST YOU IN IMPROVING YOUR JOB PERFORMANCE?

FORM B.

PERFORMANCE EVALUATION REVIEW

EMPLOYEE'S NAME	DIVISION	DEPARTMENT	DATE EMPLOYED
EMPLOYEE'S POSITION	CLASS		

INSTRUCTIONS: Employee's evaluation should be expressed in numerical terms and based on definitions of ratings shown hereunder.

(0-49 = Failing*) (50-59 = Poor*) (60-69 = Fair) (70-84 = Good) (85-94 = Very Good) (95-100 = Exceptional)

			PERFORMANCE RATING
1.	ATTENDANCE	Is employee ever absent without good cause?	
2.	INITIATIVE	Is employee a self-starter? Does he keep busy?	
3.	COOPERATION	Does employee work well with others?	
4.	ABILITY TO LEARN	Does employee follow instructions and remember well?	
5.	ADAPTABILITY	Can employee satisfactorily handle assignments and accept working conditions?	
6.	APPEARANCE	Does employee dress appropriately for the job and maintain well-groomed appearance at all times, consistent with occupation?	
7.	DEPENDABILITY	Can employee be relied upon to do the job assigned?	
8.	JOB KNOWLEDGE	Is employee well qualified for the job?	
9.	ATTITUDE	Is employee happy with his work: does he accept City policies?	
10.	QUALITY OF WORK	Is employee neat and accurate in his work?	
11.	QUANTITY OF WORK	Is the amount produced consistent with the standards established for the nature of the work?	

ADDITIONAL COMMENTS:

*NECESSARY IN CASES OF FAILING & POOR:

IN YOUR OPINION IS THIS EMPLOYEE PROPERLY PLACED? YES________ NO*________

RATER:		SUPERVISOR	
TITLE	DATE	TITLE	DATE
APPOINTING AUTHORITY (OR ALTERNATE)		THIS REPORT HAS BEEN DISCUSSED WITH ME. MY SIGNATURE DOES NOT NECESSARILY MEAN I AGREE WITH RATINGS.	
TITLE	DATE	EMPLOYEE'S SIGNATURE	DATE

FORM C.

EMPLOYEE EVALUATION REPORT

EMPLOYEE'S NAME　　POSITION TITLE AND NUMBER　　LOCATION

RATING PERIOD ENDING　　DEPARTMENT　　DIVISION　　SECTION　　UNIT

RATE EACH FACTOR
- COMPETENT
- IMPROVEMENT NEEDED
- UNSATISFACTORY

1. QUANTITY ☐ ☐ ☐
- Amount of work performed
- Completion of work on schedule

2. QUALITY ☐ ☐ ☐
- Accuracy
- Neatness of work product
- Thoroughness
- Oral expression
- Written expression

3. WORK HABITS ☐ ☐ ☐
- Observance of working hours
- Attendance
- Observance of rules including safety
- Economy of time and material
- Compliance with work instructions
- Orderliness in work
- Application to duties

4. PERSONAL RELATIONS ☐ ☐ ☐
- Getting along with fellow employees
- Meeting and handling the public
- Personal appearance

5. ADAPTABILITY ☐ ☐ ☐
- Performance in new situations
- Performance in emergencies
- Performance with minimum instructions
- Initiative

6. OTHER (Specify) ☐ ☐ ☐

7. SUPERVISORY ABILITY ☐ ☐ ☐
(ONLY FOR SUPERVISORS)
- Ability to get work out
- Planning and assigning
- Training and instructing
- Disciplinary control
- Evaluating performance
- Making decisions
- Fairness and impartiality
- Approachability
- Leadership

OVER-ALL EVALUATION

UNSATISFACTORY	IMPROVEMENT NEEDED	COMPETENT

This report is based on my observation and/or knowledge. It represents my best judgment of the employee's performance.

RATER .... DATE ....

I have reviewed this report.

REVIEWER .... DATE ....

Copy of report given or sent to employee. DATE ....

COMMENTS space may be used to describe employee's strengths and weaknesses and give examples of work well done and plans for improving performance. Use of comments is optional with rater.

COMMENTS BY RATER

EMPLOYEE'S REMARKS

I have received a copy of this report.

EMPLOYEE'S SIGNATURE .... DATE

FORM D.

EMPLOYEE PERFORMANCE EVALUATION

NAME: ______________________________

SUPERVISOR'S NAME: ______________________________

PERIOD COVERED: __________ TO __________

JOB TITLE: ______________________________

NUMBER OF MONTHS IN PRESENT POSITION: __________ MONTHS

NOTE: PERSON BEING RATED WILL HAVE BEEN UNDER THE DIRECT SUPERVISION OF THE RATING SUPERVISOR FOR AT LEAST 30 DAYS. OTHERWISE FORMER SUPERVISOR WILL EVALUATE.

The purpose of this performance evaluation scale is to provide you with an objective way of evaluating the performance of clerk-typists and secretaries reporting to you. The rating scales which follow have been designed to help you rate performance in fifteen (15) areas which have been consistently identified as important aspect of clerk-typist and secretarial performance.

The rating process is simple. Consider the individual to be rated and give a rating on each of the 15 aspects of performance. You will notice that each of the 15 aspects is defined for you. You will rate each person by describing how well the person typically performs each job aspect. When rating the person, keep in mind the definition of the aspect being rated.

You will notice that the rating scale is made up of a vertical line which has been numbered from 1 through 9. The purpose of the job performance examples is to tell you exactly what level of performance is indicated by the varous points along the scale. In other words, we are trying to give you an idea of the behavior represented by a 7 or a 4 or a 2 on the scale.

[ONLY THE FIRST CRITERION IS PRESENTED. CRITERIA TWO THROUGH FIFTEEN FOLLOW THE SAME FORMAT AS CRITERION ONE.]

CRITERION ONE -- SHOWING CREATIVITY ON THE JOB

This job aspect involves recognizing problems or goals not yielding to present methods of solution, identifying the relationships between key elements involved, identifying solutions and answers and sharing them with others, and following through or implementing the solution to be sure it truly solves the problem.

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED OUTSTANDING ON CREATIVITY BY MOST RATERS.	9	Other secretaries seek his/her opinion on new ideas and techniques
	8	
	7	Encourages others to generate new ideas
	6	
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED AVERAGE ON CREATIVITY BY MOST RATERS.	5	Sees relationships among factors and comes up with workable ideas.
	4	
	3	
	2	Finds fault with techniques or procedures but does nothing about them
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED LOW ON CREATIVITY BY MOST RATERS.	1	Resists new ideas and techniques

GENERAL COMMENTS BY THE RATER: *(Note areas of weak and strong performance. Outline a plan for improving performance. Be specific concerning what will be done, by whom, and when in this plan.)*

EMPLOYEE COMMENTS: *(Note any areas of disagreement or incidents of importance not covered above.)*

RATER'S SIGNATURE: ______________________ DATE: __________

REVIEWER'S SIGNATURE: ______________________ DATE: __________

EMPLOYEE'S SIGNATURE: ______________________ DATE: __________

REQUEST FOR FORMAL REVIEW OF THIS REPORT

IF THE EMPLOYEE WISHES TO DISCUSS THIS REPORT OR SOME OTHER MATTER WITH SOMEONE OTHER THAN THE RATING SUPERVISOR, PLEASE CHECK THE FOLLOWING BOX.

☐ *I WOULD LIKE TO DISCUSS THIS REPORT OR OTHER MATTERS WITH SOMEONE OTHER THAN MY RATING SUPERVISOR.*

10. PERFORMANCE EVALUATION METHODS

- WE WILL BE TALKING ABOUT TWO GENERAL CATEGORIES OF PERFORMANCE EVALUATION METHODS: VERY SUBJECTIVE METHODS AND LESS SUBJECTIVE METHODS. WE USE THE WORD SUBJECTIVE DELIBERATELY SINCE IT IS IMPOSSIBLE TO DEVELOP A SYSTEM THAT IS TOTALLY OBJECTIVE.

PLACE OVERHEAD SLIDE 2.34 ON THE PROJECTOR.

- READ METHODS LISTED ON SLIDE. MENTION THAT WE WILL NEXT STUDY EACH METHOD IN DETAIL.

PERFORMANCE EVALUATION METHODS

VERY SUBJECTIVE APPROACHES

- RANKING
- ESSAY
- FORCED DISTRIBUTION
- NON-ANCHORED RATING SCALES

LESS SUBJECTIVE APPROACHES

- FORCED CHOICE
- WEIGHTED CHECKLIST
- CRITICAL INCIDENT
- BEHAVIORAL ANCHORS

11. RANKING

- AS ITS NAME IMPLIES, THE RANKING METHOD OF PERFORMANCE EVALUATION INVOLVES RANKING A GROUP OF EMPLOYEES AGAINST ONE OR MORE CRITERIA. USUALLY WE CAN SELECT THE BEST AND WORST EMPLOYEES, BUT WE WILL HAVE A GREAT DEAL OF DIFFICULTY DECIDING EXACTLY WHERE WE SHOULD PLACE ALL OF THE EMPLOYEES WHO FALL INTO THAT MIDDLE GROUP. WHEN IT IS TIME TO GIVE FEEDBACK TO EMPLOYEES, THE RANKING METHOD DOES NOT PROVIDE A GOOD BASIS FOR THIS FEEDBACK.

12. ESSAY

- THE ESSAY APPROACH TO PERFORMANCE EVALUATION WAS SEEN IN FORM A. THAT YOU CRITIQUED EARLIER. BESIDES BEING VERY TIME CONSUMING, THE ESSAY APPROACH REQUIRES THE RATER TO HAVE ENOUGH WRITING ABILITY TO PUT HIS/HER THOUGHTS ONTO PAPER. THIS APPROACH CAN PROVIDE GOOD FEEDBACK, BUT IT DOES NOT LEND ITSELF TO COMPARISONS BETWEEN INDIVIDUALS OR AMONG DEPARTMENTS.

13. FORCED DISTRIBUTION

- THE FORCED DISTRIBUTION APPROACH MAY BE USED IN COMBINATION WITH OTHER RATING SCALE TECHNIQUES. THIS TECHNIQUE GETS ITS NAME FROM THE FACT THAT THE RATER IS FORCED TO MAKE HIS/HER RATINGS CONFORM TO A PARTICULAR DISTRIBUTION OF RATINGS. EXAMPLES OF FORCED DISTRIBUTIONS ARE PRESENTED IN SLIDES 2.38 AND 2.39.

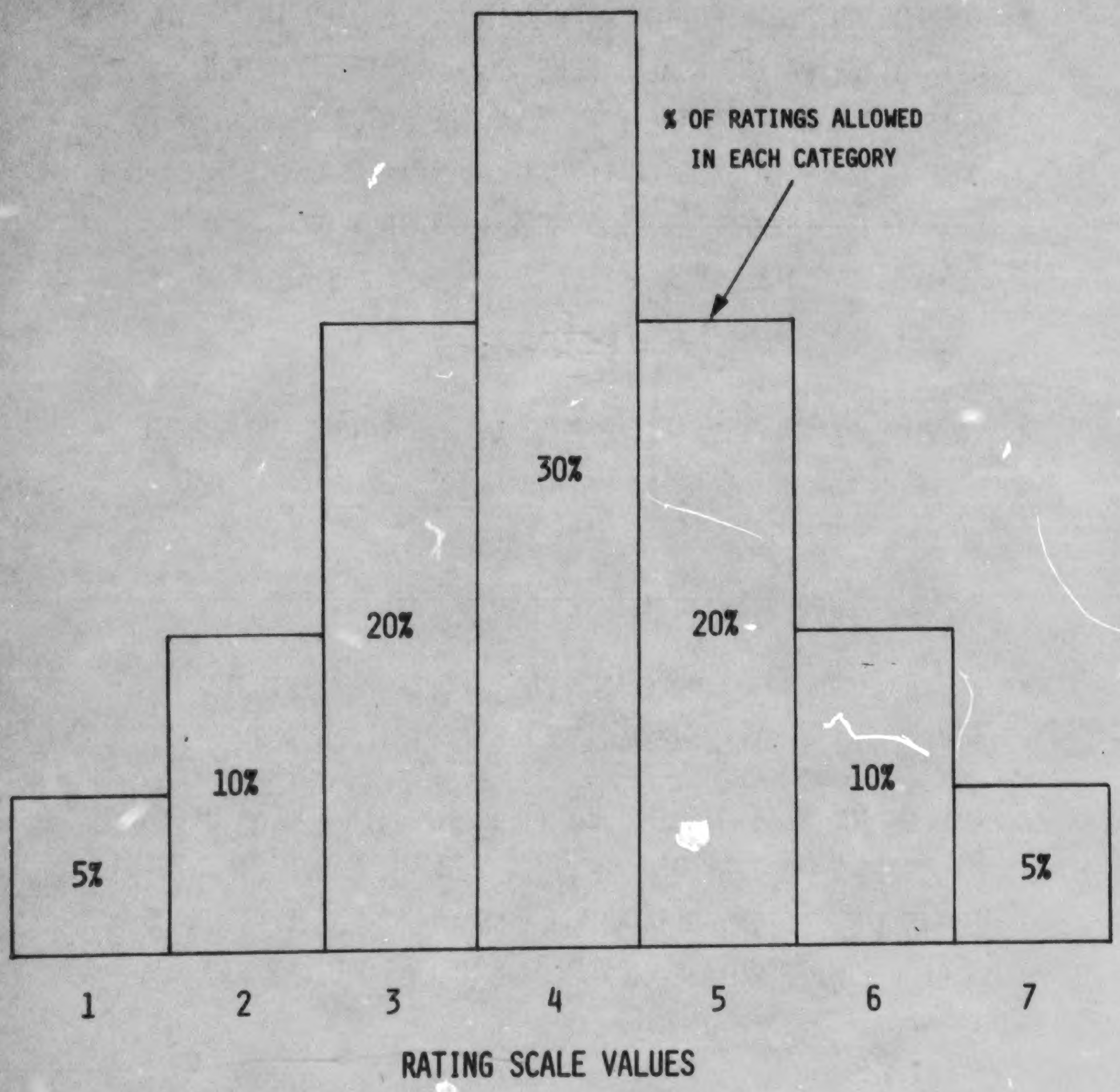
PLACE OVERHEAD SLIDE 2.38 ON THE PROJECTOR.

- IN THIS EXAMPLE THE RATER MUST GIVE A RATING OF "1" TO 5% OF THOSE BEING RATED, A RATING OF "2" TO 10%, AND SO ON.

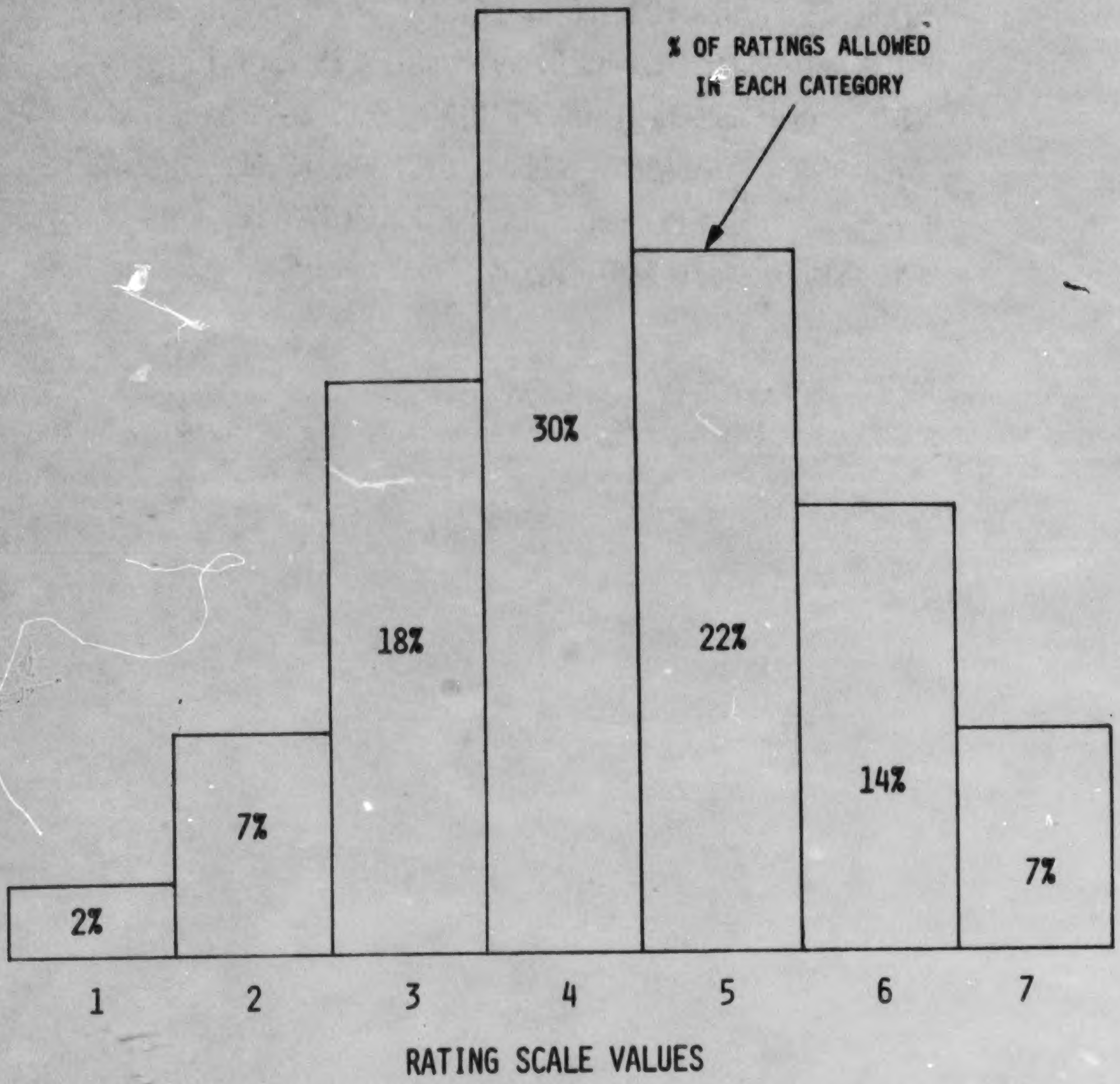
PLACE OVERHEAD SLIDE 2.39 ON THE PROJECTOR.

- IN THIS SECOND EXAMPLE WE HAVE A FORCED DISTRIBUTION WHICH MORE CLOSELY RESEMBLES OUR MODIFIED NORMAL CURVE.

- ONE OF THE MOST SIGNIFICANT PROBLEMS WITH FORCED DISTRIBUTIONS IS THAT THEY DO NOT ALLOW FOR THOSE DEPARTMENTS OR UNITS THAT DO IN FACT DEPART FROM THE AVERAGE AND HAVE A GREATER PERCENTAGE OF OUTSTANDINGLY GOOD, OR BAD, EMPLOYEES.



EXAMPLE OF A FORCED DISTRIBUTION



ANOTHER EXAMPLE OF A FORCED DISTRIBUTION

14. NON-ANCHORED RATING SCALES

- A NON-ANCHORED RATING SCALE DOES NOT INCLUDE ANY REFERENCE POINTS FOR THE RATER. WE SAW EXAMPLES OF THIS IN FORMS B. AND C. THE RATER IS LEFT TO HIS/HER OWN JUDGEMENT IN DEFINING TERMS SUCH AS "AVERAGE", "STANDARD", "GOOD", ETC. AS WE ALL HAVE SEEN, WHAT IS "GOOD" TO ONE RATER MAY BE "UNACCEPTABLE" TO ANOTHER.

15. FORCED-CHOICE SCALES

- THE FORCED-CHOICE CONCEPT WAS DEVELOPED BY THE MILITARY DURING THE 1950'S. THE NAME FORCED-CHOICE CAME FROM THE FACT THAT RATERS WERE FORCED TO CHOOSE A CERTAIN NUMBER OF STATEMENTS TO DESCRIBE A PERSON'S PERFORMANCE. THIS APPROACH TO PERFORMANCE EVALUATION WAS CONSIDERED TO BE THE BEST METHOD FOR REDUCING SUBJECTIVITY AND BIAS AMONG RATERS. HOWEVER, THE FORCED-CHOICE SCALES COULD BE FAKED. IN ADDITION, THEY DID NOT PROVIDE ANY SPECIFIC FEEDBACK TO THE PERSON BEING RATED. WE MENTION THEM HERE TO SHOW YOU WHAT HAS BEEN ATTEMPTED IN THE PAST.

PLACE OVERHEAD SLIDE 2.43 ON THE PROJECTOR. REVIEW FOUR-STEP PROCESS FOR DEVELOPING A FORCED CHOICE SCALE.

- BEFORE WE SHOW YOU AN ACTUAL FORCED-CHOICE SCALE, WE HAVE A COUPLE OF COMMENTS. FIRST, THE FORCED-CHOICE APRROACH REQUIRES A MAJOR DEVELOPMENT EFFORT. IT CAN EASILY TAKE 30 TO 60 MAN-DAYS TO DEVELOP A FORCED-CHOICE SCALE. SECONDLY, THE FORCED-CHOICE APPROACH OFTEN FRUSTRATES BOTH THE RATER AND THE RATEE SINCE THE RATER'S CHOICES ARE CONSTRAINED AND THE RATEE RECEIVES NO SPECIFIC FEEDBACK. FINALLY, THE FORCED-CHOICE SCALE CAN BE FAKED IN THIS FASHION: IF JOE IS A POOR PERFORMER TO WHOM I WANT TO GIVE A HIGH RATING AND IF MARY IS AN

15. FORCED-CHOICE SCALES -- CONTINUED

OUTSTANDING PERFORMER, I CAN GIVE JOE A HIGH RATING BY COPYING MARY'S RATING ON JOE'S PERFORMANCE EVALUATION SHEET.

- ON SLIDES 2.44 AND 2.45 WE HAVE REPRODUCED THE FIRST TWO PAGES OF A FORCED-CHOICE PERFORMANCE EVALUATION INSTRUMENT DEVELOPED TO ASSESS THE PERFORMANCE OF POLICE OFFICERS.

PLACE OVERHEAD SLIDES 2.44 AND 2.45 ON THE PROJECTOR.

DEVELOPING A FORCED-CHOICE SCALE

1. OBTAIN STATEMENTS ABOUT THE JOB PERFORMANCE OF GOOD AND POOR PERFORMERS FROM PERSONS FAMILIAR WITH THE JOB. THIS ASSURES THAT OUR INSTRUMENT WILL BE JOB RELATED.
2. DETERMINE THE DEGREE THAT AN ITEM DIFFERENTIATES BETWEEN GOOD PERFORMERS AND POOR PERFORMERS. THIS IS CALLED THE PERFORMANCE INDEX OR DISCRIMINATION INDEX OF AN ITEM.
3. DETERMINE THE DEGREE TO WHICH AN ITEM IS SEEN AS A FAVORABLE OR AN UNFAVORABLE STATEMENT TO MAKE ABOUT AN EMPLOYEE. THIS IS CALLED THE DESIRABILITY INDEX.
4. DEVELOP CLUSTERS OF ITEMS THAT DIFFER IN DISCRIMINATION BUT ARE SIMILAR IN DESIRABILITY. THIS MAKES THE RATER'S JOB MORE DIFFICULT SINCE THE RATER CAN NOT SIMPLY PICK THOSE ITEMS THAT "SOUND GOOD" SINCE ALL THE ITEMS IN A GROUP SHOULD "SOUND EQUALLY GOOD".

FORCED-CHOICE PERFORMANCE EVALUATION

DIRECTIONS:

THIS PERFORMANCE EVALUATION INSTRUMENT CONTAINS NINETEEN SETS OF DESCRIPTIVE PHRASES. EACH SET CONTAINS FOUR PHRASES ALL OF WHICH ARE POSITIVE IN NATURE.

AS YOU READ THE PHRASES IN EACH SET, FOCUS YOUR ATTENTION ON THE POLICE OFFICER YOU ARE EVALUATING; AND, IN YOUR BEST JUDGEMENT, SELECT THE TWO PHRASES THAT COME THE CLOSEST TO DESCRIBING THE TRAITS OR PERFORMANCE OF THIS OFFICER.

YOU MAY FIND THAT AN OFFICER IS VERY MUCH LIKE ALL FOUR AREAS OR QUALITIES DESCRIBED IN A SET OF PHRASES. OR YOU MAY FIND THAT THE OFFICER IS NOT VERY SIMILAR TO ANY OF THE PHRASES. HOWEVER, YOU MUST SELECT TWO, AND ONLY TWO, OF THE PHRASES IN EACH SET.

1. A. THE ACTIVITY THAT HE GETS IS GOOD.
   B. KEEPS HIS EQUIPMENT IN GOOD CONDITION.
   C. ALWAYS SATISFIES HIS CURIOSITY.
   D. DOESN'T TAKE SIDES IN DISPUTES.

2. A. COMPLETELY SATISFIES HIS CURIOSITY WITH EACH SUSPICIOUS CONTACT.
   B. VERY SELDOM OFFENDS THE PERSON BEING ARRESTED WHEN MAKING AN ARREST.
   C. VERY FAIR IN HIS ENFORCEMENT OF THE LAW.
   D. IS CONFIDENT IN HIS KNOWLEDGE OF LAW ENFORCEMENT.

3. A. UNAFRAID OF RESPONSIBILITY.
   B. WHEN MAKING AN ARREST HE MAKES THE PERSON FEEL HE IS ONLY DOING HIS JOB AS A POLICE OFFICER.
   C. DOES NOT BELITTLE FELLOW OFFICERS BY HIS REMARKS.
   D. IS ABLE TO ASSESS A SITUATION RAPIDLY.

4. A. IS LEVEL HEADED.
   B. HE HAS AN AIR OF CONFIDENCE.
   C. HE HAS MADE POLICE WORK A CAREER.
   D. HE HAS A GOOD PERSONALITY.

5. A. WELL LIKED AND VERY WELL RESPECTED BY THE TOWN CITIZENS.
   B. IS A GOOD BACK-UP MAN.
   C. IS SELF-ASSURED AND FIRM WHEN HE KNOWS HE IS RIGHT.
   D. VERY PROUD OF HIS FAMILY.

16. WEIGHTED CHECKLIST SCALES

- THE WEIGHTED CHECKLIST ATTEMPTS TO ASSIGN NUMERICAL VALUES TO VARIOUS TASKS PERFORMED ON THE JOB. AS ITS NAME IMPLIES, THE WEIGHTED CHECKLIST PRESENTS THE RATER WITH A LIST OF JOB BEHAVIORS FOR A PARTICULAR JOB. THE RATER'S TASK IS TO CHECK ALL THOSE BEHAVIORS WHICH ARE TYPICAL OF THE PERSON BEING RATED.

PLACE OVERHEAD SLIDE 2.47 ON THE PROJECTOR AND REVIEW THE THREE STEP PROCESS FOR DEVELOPING A WEIGHTED CHECKLIST.

- NOTE THAT THE WEIGHTED CHECKLIST IS DEFINITELY JOB RELATED AND DOES PROVIDE SPECIFIC FEEDBACK TO THE PERSON BEING RATED. IF THE JOB IN QUESTION ALREADY HAS A CHECKLIST DEVELOPED AS PART OF A JOB ANALYSIS PROCESS, THIS CHECKLIST CAN BE USED TO DEVELOP A WEIGHTED CHECKLIST FOR PERFORMANCE EVALUATION PURPOSES. LIKE THE FORCED-CHOICE METHOD, THE WEIGHTED CHECKLIST CAN EASILY REQUIRE 30 TO 60 MAN-DAYS TO DEVELOP. A SAMPLE WEIGHTED CHECKLIST IS PROVIDED ON SLIDE 2.48.

PLACE OVERHEAD SLIDE 2.48 ON THE PROJECTOR. BE SURE TO MENTION THAT THE SCALE VALUES ARE NOT SHOWN TO THE RATERS.

DEVELOPMENT OF A WEIGHTED CHECKLIST SCALE

1. OBTAIN STATEMENTS ABOUT THE JOB FROM PERSONS FAMILIAR WITH THE JOB (JOB INCUMBENTS AND SUPERVISORS)
2. HAVE JUDGES (SUPERVISORS AND JOB INCUMBENTS WHO ARE FAMILIAR WITH THE JOB) EVALUATE THE PERFORMANCE VALUE OF EACH STATEMENT ON A TEN POINT SCALE
3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR PERFORMANCE VALUE

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE ITEMS WITHOUT THE SCALE VALUES. THE PERSON'S PERFORMANCE EVALUATION SCORE IS THE AVERAGE OF ALL THE ITEMS CHECKED.

WEIGHTED CHECKLIST PERFORMANCE EVALUATION SCALE

PLEASE CHECK ALL THOSE ITEMS WHICH ARE TYPICAL OF THE PERSON BEING RATED. YOU MUST CHECK AT LEAST SIX OF THE ITEMS.

		SCALE VALUE
___	ABLE TO INVOLVE WHOLE GROUP IN PROBLEM SOLVING	6.7
___	EXPECTS TOO MUCH OF EMPLOYEES	2.2
___	WRITTEN REPORTS ARE OF UNIFORM HIGH QUALITY	8.9
___	ACCURATELY FORECASTS BUDGET NEEDS	7.8
___	EMPLOYEES ENJOY WORKING FOR HIM/HER	7.6
___	LACKS A LONG RANGE VIEWPOINT	3.5
___	CRITICIZES EMPLOYEES UNNECESSARILY	0.3
___	CONSULTS WITH OTHER MANAGERS WHEN MAKING SCHEDULES	7.4
___	TARDY IN COMPLETING PAPERWORK	2.5
___	CONDUCTS PERFORMANCE EVALUATIONS WITH EACH EMPLOYEE	7.7
___	CAN USUALLY CALM UPSET CITIZENS	6.3
___	HAS ORIGINATED NEW APPROACHES TO THE JOB	6.4
___	KEEPS BUSY BUT DOENS'T SET PRIORITIES	3.1

NOTE -- DO NOT SHOW SCALE VALUES TO RATERS

17. CRITICAL INCIDENT SCALES

- THE CRITICAL INCIDENT APPROACH TO PERFORMANCE EVALUATION FOCUSES ON THOSE EMPLOYEE BEHAVIORS WHICH ARE "CRITICAL" FOR SUCCESS OR FAILURE ON THE JOB. BY USING THIS APPROACH WE ARE ABLE TO EMPHASIZE THOSE BEHAVIORS WHICH DIFFERENTIATE BETWEEN THE GOOD AND POOR PERFORMERS. AT THE SAME TIME WE DO NOT GET "BOGGED DOWN" WITH ALL THE DETAILS OF A PARTICULAR JOB THAT ARE NOT RELATED TO EITHER SUCCESS OR FAILURE ON THE JOB.

PLACE OVERHEAD SLIDE 2.50 ON THE PROJECTOR AND REVIEW THE THREE STEP PROCESS FOR DEVELOPING A CRITICAL INCIDENT SCALE.

- WHILE THERE ARE ONLY THREE STEPS INVOLVED IN DEVELOPING A CRITICAL INCIDENT SCALE, THE STEPS ARE VERY TIME CONSUMING. USUALLY TWO OR THREE HUNDRED INCIDENTS ARE NEEDED SINCE MANY OF THE INCIDENTS WILL BE DISCARDED BY THE JUDGES. THE INTERVIEWING PROCESS FOR GENERATING THE INCIDENTS IS ALSO TIMELY AS WE WILL SEE LATER IN THIS MODULE. A SAMPLE OF ONE CATEGORY FOR A CRITICAL INCIDENT SCALE DEVELOPED FOR RESEARCHERS IS PRESENTED ON SLIDE 2.51.

PLACE OVERHEAD SLIDE 2.51 ON THE PROJECTOR.

DEVELOPMENT OF A CRITICAL INCIDENT SCALE

1. OBTAIN STATEMENTS ABOUT SUCCESSFUL AND UNSUCCESSFUL PERFORMANCE FROM JOB INCUMBENTS AND SUPERVISORS. FOR EXAMPLE, ASK FOR ILLUSTRATIONS OF EFFECTIVE BEHAVIORS WHICH RESULTED IN SUCCESSFUL JOB PERFORMANCE AND INEFFECTIVE BEHAVIORS WHICH RESULTED IN UNSUCCESSFUL JOB PERFORMANCE.
2. HAVE JOB INCUMBENTS AND SUPERVISORS GROUP THE STATEMENTS INTO TEN TO TWENTY GENERAL CATEGORIES DESCRIBING JOB BEHAVIOR.
3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR CATEGORY.

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE CATEGORIES AND INCIDENTS. THE PERSONS'S PERFORMANCE EVALUATION SCORE IS THE SUM OF ALL THE ITEMS CHECKED.

CRITICAL INCIDENT PERFORMANCE EVALUATION SCALE

CATEGORY -- PROFESSIONAL OBJECTIVITY AND INTEGRITY

1. PRESENTED FACTS WITHOUT BIAS (E.G., ADMITTED ERRORS, DIDN'T MAKE STATEMENTS NOT WARRANTED BY THE DATA).

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

2. MADE DECISIONS OR GAVE DIRECTIONS IN AREAS IN WHICH HE/SHE LACKED KNOWLEDGE.

5	4	3	2	1
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

3. RECOGNIZED OWN LIMITATIONS (E.G., ACKNOWLEDGED AREAS OUTSIDE OWN EXPERTISE).

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

4. RECONSIDERED HIS/HER POSITION IN FACE OF NEW OR CONTRADICTORY DATA.

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

5. ALLOWED OWN PERSONAL BIAS TO INFLUENCE RESULTS AND/OR CONCLUSIONS.

5	4	3	2	1
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

TOTAL = ______

18. BEHAVIORAL ANCHOR SCALES

- WE MENTIONED EARLIER THAT BEHAVIORAL ANCHOR SCALES PROVIDE THE RATER WITH AN EXAMPLE OF BEHAVIOR AS A REFERENCE POINT, OR ANCHOR. THIS APPROACH TO PERFORMANCE EVALUATION BEGINS WITH THE CRITICAL INCIDENT APPROACH AND EXTENDS ONE STEP FURTHER.

PLACE OVERHEAD SLIDE 2.53 ON THE PROJECTOR.

- LIKE THE OTHER LESS SUBJECTIVE APPROACHES TO PERFORMANCE EVALUATION WE HAVE SEEN, THE BEHAVIORAL ANCHOR METHOD REQUIRES A SUBSTANTIAL AMOUNT OF TIME TO DEVELOP. A SAMPLE OF ONE CATEGORY COMPLETE WITH SCALE VALUES IS PRESENTED IN SLIDE 2.54.

PLACE OVERHEAD SLIDE 2.54 ON THE PROJECTOR.

DEVELOPMENT OF A BEHAVIORAL ANCHOR SCALE

1. OBTAIN STATEMENTS ABOUT SUCCESSFUL AND UNSUCCESSFUL PERFORMANCE FROM JOB INCUMBENTS AND SUPERVISORS. FOR EXAMPLE, ASK FOR ILLUSTRATIONS OF EFFECTIVE BEHAVIORS WHICH RESULTED IN SUCCESSFUL JOB PERFORMANCE AND INEFFECTIVE BEHAVIORS WHICH RESULTED IN UNSUCCESSFUL JOB PERFORMANCE.
2. HAVE JOB INCUMBENTS AND SUPERVISORS GROUP THE STATEMENTS INTO TEN TO TWENTY GENERAL CATEGORIES DESCRIBING JOB BEHAVIOR.
3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR CATEGORY.
4. JOB INCUMBENTS AND SUPERVISORS RATE EACH OF THE RETAINED ITEMS ON A FIVE-POINT (OR SEVEN-POINT OR NINE-POINT) POOR TO GOOD PERFORMANCE SCALE. ITEMS ARE ELIMINATED WHEN THE JUDGES CAN NOT AGREE ON THEIR VALUE.

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE CATEGORIES AND INCIDENTS GROUPED BY SCALE VALUE. THE PERSON'S PERFORMANCE EVALUATION SCORE IS THE AVERAGE OF ALL THE ITEMS CHECKED.

BEHAVIORAL ANCHOR PERFORMANCE EVALUATION SCALE

CRITERION TEN -- JUMPING ABILITY

This job aspect involves recognizing obstacles in one's path and adjusting one's speed and height of jump to clear obstacles.

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED OUTSTANDING ON JUMPING ABILITY BY MOST RATERS.	9	Leaps tall buildings with a single bound
	8	
	7	Must take a running start to leap over tall buildings
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED AVERAGE ON JUMPING ABILITY BY MOST RATERS.	6	
	5	Can leap over medium buildings of ten stories or less
	4	
	3	
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED LOW ON JUMPING ABILITY BY MOST RATERS.	2	Crashes into buildings when attempting to leap over them
	1	Can not recognize buildings and can't jump either
	0	Not applicable or no opportunity to observe

19. GENERATING CRITICAL INCIDENTS

- THIS WILL BE AN EXERCISE IN GENERATING CRITICAL INCIDENTS. DIVIDE THE PARTICIPANTS INTO PAIRS, AND EXPLAIN THAT THEY WILL ACTUALLY DEVELOP CRITICAL INCIDENTS.

PLACE OVERHEAD SLIDE 2.56 ON THE PROJECTOR.

AFTER REVIEWING SLIDE 2.56 PLACE OVERHEAD SLIDE 2.57 ON THE PROJECTOR. AFTER PARTICIPANTS HAVE DEVELOPED A COUPLE INCIDENTS, AGAIN REFER THEM TO SLIDE 2.57 AND ASK THEM IF THEIR INCIDENTS RESEMBLE THE FORMAT OF THE MODEL INCIDENT.

GENERATING CRITICAL INCIDENTS

SITUATION: WE WANT TO DEVELOP A BEHAVIORALLY ANCHORED PERFORMANCE EVALUATION SCALE FOR THE CLERICAL AND SECRETARIAL STAFF. WE WILL BE INTERVIEWING EACH OTHER TO DEVELOP THE SCALE.

INTERVIEW QUESTIONS

PLEASE GIVE THREE INCIDENTS OF EFFECTIVE AND THREE INCIDENTS OF INEFFECTIVE BEHAVIOR WHICH YOU HAVE SEEN RESULT IN SUCCESSFUL OR UNSUCCESSFUL JOB PERFORMANCE. FOR EACH INCIDENT RECORD ANSWERS TO THE FOLLOWING QUESTIONS:

(1) WHAT WERE THE CIRCUMSTANCES SURROUNDING THE INCIDENT?

(2) EXACTLY WHAT DID THE SECRETARY/CLERK DO?

(3) HOW IS THIS AN EXAMPLE OF EFFECTIVE OR INEFFECTIVE BEHAVIOR?

SAMPLE OF A CRITICAL INCIDENT

(1) WHAT WERE THE CIRCUMSTANCES ?

IRRITATED CLIENT CALLED AND DEMANDED TO SPEAK WITH THE AGENCY HEAD. CLIENT COMPLAINED TO THE SECRETARY OF AGENCY INEFFICIENCY AND OF "GETTING THE RUN-AROUND".

(2) EXACTLY WHAT DID THE SECRETARY DO ?

INSTEAD OF TRANSFERRING THE CALL TO THE AGENCY HEAD, THE SECRETARY ATTEMPTED TO FIND OUT EXACTLY WHAT HAD HAPPENED TO THE IRRITATED CLIENT. THE SECRETARY DISCOVERED THAT THE CLIENT HAD BEEN SEEKING ASSISTANCE IN THE WRONG DEPARTMENT AND TRANSFERRED THE CLIENT TO THE CORRECT PERSON AFTER OBTAINING THE CLIENT'S NAME AND PHONE NUMBER. LATER THE SECRETARY CALLED THE CLIENT TO SEE IF THE PROBLEM HAD BEEN SOLVED.

(3) HOW IS THIS AN EXAMPLE OF EFFECTIVE BEHAVIOR ?

THE SECRETARY ATTEMPTED TO SOLVE THE SITUATION RATHER THAN IMMEDIATELY HANDING IT TO HIS SUPERVISOR. ALSO THE SECRETARY TREATED THE CLIENT AS AN INDIVIDUAL RATHER THAN AS A NUMBER.

20. CATEGORIZING CRITICAL INCIDENTS

- NOW THAT YOU HAVE DEVELOPED SOME CRITICAL INCIDENTS, ASSUME THAT ALL THE INCIDENTS HAVE BEEN SUMMARIZED ON 3 X 5 CARDS. THE NEXT STEP IN THE DEVELOPMENT OF BEHAVIORAL ANCHORS IS TO GROUP THE INCIDENTS INTO CATEGORIES. EACH OF YOU WILL BE GIVEN A DECK OF CARDS CONTAINING 100 INCIDENTS. YOUR TASK WILL BE TO PLACE THESE INCIDENTS INTO 10 TO 20 CATEGORIES. WORK ALONE ON THIS TASK. YOU WILL HAVE APPROXIMATELY 15 MINUTES TO COMPLETE YOUR CATEGORIZATION.

  TYPICAL CATEGORIES MIGHT INCLUDE:

  - COMMUNICATION SKILLS
  - DECISION MAKING
  - DEALING WITH THE PUBLIC
  - RESPONDING TO THE NEED FOR EXTRA EFFORT
  - ETC.

THE CRITICAL INCIDENTS ARE INCLUDED IN APPENDIX A.

21. ASSIGNING SCALE VALUES TO CRITICAL INCIDENTS

- LET'S ASSUME THAT WE HAVE DISCARDED ALL THOSE INCIDENTS WHICH WERE PLACED IN DIFFERENT CATEGORIES. NOW WE'RE READY FOR THE THIRD STEP IN DEVELOPING BEHAVIORAL ANCHORS -- ASSIGNING SCALE VALUES TO THE INDCIDENTS WITHIN EACH CATEGORY.

  WE WILL DO THIS FOR ONE CATEGORY.

  REFER PARTICIPANTS TO RATING SHEET IN THEIR MANUALS.

- WE WILL USE THE FIVE POINT SCALE WHICH I WILL SHOW YOU FOR OUR RATINGS.

  PLACE OVERHEAD SLIDE 2.60 ON THE PROJECTOR AND LEAVE SLIDE ON PROJECTOR FOR THE ENTIRE RATING EXERCISE.

RATING SCALE VALUES

1. UNACCEPTABLE BEHAVIOR. THE "1" EMPLOYEE IS UNSATISFACTORY. THE UNIT WOULD BE MUCH BETTER OFF WITHOUT THIS EMPLOYEE.
2. BELOW JOB STANDARDS. THE "2" EMPLOYEE NEEDS TO IMPROVE. THE "2" EMPLOYEE EXCEEDS THE "1" SINCE HE/SHE IS OF SOME HELP TO THE UNIT.
3. MEETS JOB STANDARDS. THE "3" EMPLOYEE PERFORMS THE JOB SATISFACTORILY.
4. EXCEEDS JOB STANDARDS. THE "4" EMPLOYEE GOES BEYOND THE ROUTINE ACCOMPLISHMENT OF THE JOB.
5. OUTSTANDING PERFORMANCE. THE "5" EMPLOYEE FAR EXCEEDS THE JOB STANDARDS. HE/SHE IS ONE OF THE TOP PERFORMERS IN THE UNIT.

22. POST-TEST

- REFER PARTICIPANTS TO THE POST-TEST IN THEIR MANUALS.

ALLOW PARTICIPANTS 15 MINUTES TO COMPLETE THE POST-TEST.

AFTER THE POST-TEST HAS BEEN COMPLETED, HAVE PARTICIPANTS SCORE BOTH THE PRE-TEST AND THE POST-TEST USING THE ANSWER SHEET INCLUDED IN THEIR MANUAL.

IF YOU ARE USING THE PRE-TEST AND THE POST-TEST TO EVALUATE LEARNING, ASK PARTICIPANTS TO RECORD THEIR FOUR-DIGIT NUMBER IN THE UPPER RIGHT HAND CORNER OF THE POST-TEST. COLLECT THE POST-TESTS AT THIS TIME. IF YOU WILL BE RESPONSIBLE FOR SCORING THE POST-TEST, YOU SHOULD REMOVE THE ANSWER SHEETS FROM THE PARTICIPANT'S MANUALS.

23. THIS CONCLUDES MODULE TWO

IF ANOTHER MODULE DIRECTLY FOLLOWS MODULE TWO, PROCEED TO THAT MODULE.

IF THERE WILL NOT BE ANOTHER MODULE IMMEDIATELY AFTER MODULE TWO OR IF THIS CONCLUDES THE FIRST DAY OF THE WORKSHOP, YOU MAY USE THIS TIME FOR COMPLETING ANY NECESSARY FORMS AND FOR OBTAINING FEEDBACK FROM THE PARTICIPANTS.

IF YOU HAVE A STANDARD COURSE FEEDBACK FORM, DISREGARD SLIDE 2.63. IF YOU DO NOT HAVE A FEEDBACK FORM, CONSIDER THE QUESTIONS ON SLIDE 2.63. THESE ARE GIVEN ONLY AS SUGGESTIONS. YOU ARE ENCOURAGED TO DEVELOP FEEDBACK QUESTIONS FOR YOURSELF.

PLACE OVERHEAD SLIDE 2.63 ON THE PROJECTOR.

WORKSHOP FEEDBACK

1. WHAT DID YOU LIKE BEST ABOUT THE WORKSHOP ?

2. WHAT DID YOU LIKE LEAST ABOUT THE WORKSHOP ?

3. TO WHAT EXTENT DO YOU THINK YOU WILL BE ABLE TO USE THE INFORMATION PRESENTED IN THIS WORKSHOP ?

4. DO YOU HAVE ANY OTHER COMMENTS ?

APPENDIX A.

EACH OF THE CRITICAL INCIDENTS TO BE CATEGORIZED IS INCLUDED ON THE FOLLOWING PAGES.

EACH OF THE INCIDENTS SHOULD BE RECORDED ON A SEPARATE 3 X 5 CARD.

THE EASIEST WAY TO PRODUCE THE DECKS OF CARDS IS TO TYPE THE INCIDENTS ON MASTER SHEETS (APPROXIMATELY SIX INCIDENTS WILL FIT ON EACH PAGE OF 8 AND 1/2 BY 11 TYPING PAPER). THE INCIDENTS CAN BE REPRODUCED ON CARD-STOCK AND CUT TO THE CORRECT SIZE.

1. Sometimes sleeps on the job if he/she is left alone
2. Spends too much time on phone or writing personal letters during work hours
3. Usually does enough to complete jobs, seldom anymore
4. Work is turned out on time
5. Uses "slack" periods to maintain quantity in other areas
6. Completes own work and helps others maintain quantity of their work
7. Sticks to the job and sometimes gets bothered when others come in just to visit
8. Works rapidly
9. Willing to work long hours and forego breaks to maintain high production level
10. Does not seem to know or understand what he/she is doing
11. Forgets parts of the job
12. Gets sidetracked in elaborate but marginal quality control techniques
13. Knows enough about expected results to correct something going wrong
14. Asks useful questions before starting to make sure of what is expected
15. Spots questionable work or results, finds out why, and corrects it
16. Double checks work, makes sure it is accurate
17. Goes outside own job or field on his own to get all necessary information
18. Offends some persons or groups with profanity
19. Uses rules and regulations to inhibit action
20. Is tardy two or three times per week
21. Blindly follows policies and procedures, doesn't try to correct them
22. Suggests alternative ways to do the job
23. Advises correctly on applying rules to new and difficult problems
24. Knows when alternative routes are within the rules
25. Suggests workable solutions to policies and procedures that do not work
26. Can't be depended upon to do things that are not outlined for him/her
27. Waits to be told what to do and how to do it
28. Work supervisors need to check behind him/her
29. Can do good work if prodded
30. Resists new techniques and improved procedures
31. Can turn a job over to this employee and know it will be well done
32. Keeps up to date with new knowledge and/or techniques in his/her field and is interested in the profession
33. People don't want to consult him/her even on subjects he/she knows
34. Talks endlessly, must sometimes be cut off when talking
35. Gives lengthy, involved answers to simple questions
36. Disorganized in his/her comments -- leaves important things out
37. Talks on the level of people he/she deals with

38. Asks questions to get a better understanding of instructions or requests
39. Able to calm hostile persons
40. Uses aids that capture a group's attention immediately
41. Everything he/she writes must be checked, questioned or rewritten
42. Uses unnecessarily complicated terminology
43. Spelling and grammar cannot be understood by most people
44. Writing is "foggy"—— must be read several times for clear understanding
45. Gets bogged down in unnessessary details
46. Gets the necessary information before writing reports
47. Reports are complete and to the point
48. Fills time by doing personal things
49. Neglects the work he/she is not interested in
50. Willing to accept additional responsibility
51. Willing to tackle any job or problem that comes up
52. Does not respond to emergency work calls on off-duty time
53. Contributes extra effort to complete jobs on time
54. Willingly takes part of another's workload in temporary absences
55. Can be counted upon to accept extra tasks despite heavy workload
56. Panics and/or leaves new or different situations
57. Will not (or cannot) adapt self to changing procedures
58. Needs constant supervision in new or different situations
59. Jumps to erroneous conclusions or actions in new situations
60. Willing to use new findings or ideas only if they are proven to him/her
61. Knows when someone more qualified can help and seeks that person out
62. Is months (or years) ahead in using new findings, techniques, or procedures
63. Uses creativity to avoid work
64. Finds fault with techniques or procedures but does nothing about them
65. Generates the kind of information and action plans needed or requested
66. Delays decisions until events or other persons solve problems
67. Won't accept responsibility for, and refuses to make even minor decisions
68. Hedges on decisions with lots of qualifications which confuse issue
69. Often depends on work supervisor for his evaluations and decisions
70. Avoids making controversial decisions needed and within his authority
71. Accepts responsibility for decisions he/she is expected to make
72. Keeps analysis and decision making focused on objectives
73. Decisions clear-cut, supported by facts, effects fully considered
74. Disorganized — causes extra cost and loss of time

75. Does not plan — waits to be told everything
76. Constantly goes on assignments unprepared — must call back for what he/she needs
77. Makes required plans but doesn't follow them
78. Often waits for supervisor to do planning and organizing for him/her
79. Anticipates possible problems and plans to overcome them
80. Separates essential work from less essential
81. Plans are easily understood and useful to others
82. Takes frustrations out on job — "Puts sawdust in the gas tank"
83. Won't help others when they're in trouble and requesting advice
84. A major leader in the morale of the unit
85. Uses ideas of others and takes full credit
86. Assistance is given only to other workers of higher rank
87. Bullies, shouts at, or attempts to give orders
88. Hits, physically fights with or threatens harm to other workers
89. Cooperates only if he/she is interested
90. "My-work-first attitude" — gives impression of being over-burdened
91. Assists others whenever possible
92. Makes an effort to know other workers — concerned when they're upset
93. Extends assistance to all but avoids being taken advantage of
94. Communicates his grudge against the Department to the public
95. Exercises self-control — seldom shows temper
96. Has gotten the unit out of difficult "political" spots with outsiders
97. Has received letter of commendation from outsiders for his/her helpfulness
98. Problems from home cause problems at work
99. Did not miss a single day of work during the last six months
100. He/she has met all objectives established for the evaluation period

COMPONENT OF MODULE: STUDENT MANUAL

MODULE NO.: TWO

MODULE TITLE: METHODS OF PERFORMANCE EVALUATION

THIS MODULE DEVELOPED BY: M. PETER SCONTRINO, PH.D.

SUBCONTRACTOR: M. PETER SCONTRINO, PH.D.
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ACKNOWLEDGEMENTS

Throughout this training program we stress that performance evaluation begins and ends with behavior -- what the person has done or is actually doing. Without behavior there can be no performance. In another context we might have stressed that actions speak much more loudly than words.

Now we wish to acknowledge the words, actions, and behavior of the many practitioners and/or scholars who assisted us in the development of this performance evaluation training program.

Professors Fred Fiedler, Patrick Fleenor, and Gary Latham provided the curricular expertise for the project. Jack Cartwright and Robert Morton analyzed the material from a practitioner's point of view. The managers who participated in the tests of the training package provided both comments and data used in revising the material. The Washington Criminal Justice Training Commission, King County, and City of Palo Alto coordinated the testing of the package. And the National Training and Development Service staff fulfilled their staff function well.

INTRODUCTION

THIS MODULE OF THE PERFORMANCE EVALUATION WORKSHOP CONCENTRATES ON THE DIFFERENT METHODS OF PERFORMANCE EVALUATION. EACH OF THE FOLLOWING PERFORMANCE EVALUATION TECHNIQUES IS PRESENTED: ESSAY, RANKING, FORCED-DISTRIBUTION, NON-ANCHORED RATING SCALE, WEIGHTED CHECKLIST, FORCED-CHOICE, CRITICAL INCIDENT, AND BEHAVIORAL ANCHOR. THE RATIONALE BEHIND EACH METHOD AS WELL AS THE PROCEDURES REQUIRED FOR DEVELOPING EACH ARE PRESENTED. IN ADDITION, THE STRENGTHS AND WEAKNESSES OF EACH ARE PRESENTED. THE SELECTION OF THE "BEST" PERFORMANCE EVALUATION SYSTEM FOR A PARTICULAR ORGANIZATION IS DISCUSSED IN TERMS OF THE PARTICULAR GOALS AND OBJECTIVES ESTABLISHED BY THAT ORGANIZATION FOR ITS PERFORMANCE EVALUATION SYSTEM. THE MODULE CONCLUDES WITH A SERIES OF EXERCISES ON DEVELOPING, ANALYZING, AND RATING CRITICAL INCIDENTS.

THIS PARTICIPANT'S MANUAL CONTAINS ALL THE MATERIAL YOU WILL NEED FOR MODULE TWO. IN ADDITION, COPIES OF ALL THE TRANSPARENCIES USED BY THE INSTRUCTOR ARE INCLUDED IN THIS MANUAL.

MODULE TWO OBJECTIVES

BY THE CONCLUSION OF MODULE TWO PARTICIPANTS WILL BE ABLE TO:

- LIST THE DIFFERENT PERFORMANCE EVALUATION METHODS
- IDENTIFY STANDARDS FOR CRITIQUING PERFORMANCE EVALUATION FORMS
- DESCRIBE THE STEPS INVOLVED IN DEVELOPING THE FOLLOWING PERFORMANCE EVALUATION INSTRUMENTS:
  1. WEIGHTED CHECKLIST
  2. CRITICAL INCIDENT
  3. BEHAVIORAL ANCHOR
- GENERATE CRITICAL INCIDENTS
- CATEGORIZE AND CODE CRITICAL INCIDENTS

AGENDA FOR MODULE TWO

- MODULE TWO OVERVIEW AND OBJECTIVES
- GOALS OF YOUR PERFORMANCE EVALUATION FORMS
- STANDARDS FOR PERFORMANCE EVALUATION FORMS
- CRITIQUE OF VARIOUS PERFORMANCE EVALUATION FORMS
- OVERVIEW OF DIFFERENT PERFORMANCE EVALUATION METHODS
- "VERY SUBJECTIVE" EVALUATION METHODS
- "LESS SUBJECTIVE" EVALUATION METHODS
- GENERATING CRITICAL INCIDENTS
- CATEGORIZING CRITICAL INCIDENTS
- QUESTIONS AND DISCUSSION

MODULE TWO PRE-TEST

MULTIPLE-CHOICE QUESTIONS

Below are a number of multiple choice questions on the performance evaluation process. For each question, please circle the letter (a.,b.,c.,d., or e.)of that word or phrase which, when added to the incomplete statement, gives the best answer.

1. A performance evaluation technique which is specifically designed to overcome the problem of faked ratings is:
    a. Multiple raters
    b. Behavioral anchor
    c. Essay
    d. Forced choice
    e. Weighted checklist

2. Which of the following is the best example of the type of statement to be found in a behavioral anchor evaluation instrument?
    a. Meets job standards in every way
    b. Above average in quality and quantity of work
    c. Willing to work more than 8 hours if requested
    d. Has very positive attitude towards the organization
    e. Far below average and should be terminated

3. If you find that your raters tend to rate all employees far too easily with the result that the average rating received is 8.5 on a 9-point scale, one step you might take to improve the ratings of all raters is to use:
    a. Ranking instead of rating
    b. Forced distribution
    c. Central tendency
    d. Contrast effects
    e. Non-anchored rating scales

4. Which of the following methods would be considered a very subjective method of performance evaluation?

   a. Forced choice
   b. Essay
   c. Checklist
   d. Behaviorally anchored
   e. None

5. Development of indices of desirability and discrimination would most likely be found in the development of which kind of rating method?

   a. Forced choice
   b. Essay
   c. Ranking
   d. Cricital incident
   e. Behavioral anchor

6. A critical incident approach to performance evaluation can easily lead to the development of which of the following methods?

   a. Forced choice
   b. Non-anchored approach
   c. Forced distribution approach
   d. Behavioral anchor approach
   e. Graphic rating scale

7. A group of supervisors and subordinates are involved in the process of defining specific circumstances related to job performance. Each circumstance includes a description of what the persons did and a statement explaining how this is an example of effective or ineffective behavior. What are these people doing?

   a. Developing a forced choice scale
   b. Conducting group-centered evaluations
   c. Specifying critical incidents
   d. Identifying training needs
   e. Developing guidelines for an essay-type evaluation

PERFORMANCE EVALUATION FACTORS

SELF-ASSESSMENT

Below are listed a series of statements about performance evaluation and related topics. For each statement please rate yourself in terms of your knowledge about the particular statement or your ability to do the behavior described by the statement. Please circle the letter that best describes your answer.

1. To what degree can you indicate the standards which are useful in evaluating performance evaluation forms?

A.	*B.*	*C.*	*D.*
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

2. To what degree can you outline the steps involved in developing the forced-choice method of performance evaluation?

A.	*B.*	*C.*	*D.*
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

3. To what degree can you outline the steps involved in developing the weighted-checklist method of performance evaluation?

A.	*B.*	*C.*	*D.*
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

4. To what degree can you outline the steps involved in developing the critical-incident method of performance evaluation?

A.	*B.*	*C.*	*D.*
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

5. To what degree can you outline the steps involved in developing the behavioral-anchor method of performance evaluation?

A.	*B.*	*C.*	*D.*
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

CHECKLIST QUESTIONS

The major performance evaluation techniques are:

(1) The ranking method
(2) The essay method
(3) Non-anchored rating scales
(4) Forced choice method
(5) Weighted checklist method
(6) Critical incident method
(7) Behavioral anchor method

Items A. to H. list criticisms or assumptions involved in the use of these methods. Place an "X" under the method if the criticism or assumption applies to that method. The first items is answered as an example. You will notice that there is an "X" under every column except for columns (1) and (4) since the Ranking method (1) and the Forced choice method (4) do not provide a high degree of feedback.

RANKING 1	ESSAY 2	NON-ANCHORED 3	FORCED CHOICE 4	CHECKLIST 5	CRITICAL INC. 6	BEHAVIORAL A. 7	
	X	X		X	X	X	A. Provide feedback
							B. Result in a numerical rating
							C. Very time consuming for the rater if done properly
							D. Focus on behavior only
							E. Much development time required
							F. Can be faked or distorted
							G. Requires actual observation of person being rated
							H. Criteria are definitely job related

ESSAY QUESTIONS

1. To analyze a specific performance evaluation instrument, what factors would you consider?

2. What is a critical indicent?

GOALS OF YOUR PERFORMANCE EVALUATION SYSTEM

I. RESTRICTED TO RATER-RATEE

- CREATE AN OPPORTUNITY FOR DIALOGUE
- FEEDBACK
- PRODUCE A DEVELOPMENT PLAN (OBJECTIVES)

II. NOT RESTRICTED TO RATER-RATEE

A. COMPARISONS AMONG INDIVIDUALS

- IDENTIFICATION OF TRAINING NEEDS
- MERIT PAY INCREASES
- PROMOTION
- FEEDBACK ON RELATIVE STANDING

B. COMPARISONS AMONG DEPARTMENTS/UNITS

- FEEDBACK ON RELATIVE STANDING OF UNITS
- E.E.O. ANALYSES
- IDENTIFICATION OF TRAINING NEEDS

C. COMPARISONS AMONG RATERS

- IDENTIFICATION OF "EASY" AND "HARD" RATERS
- IDENTIFICATION OF RATER ERRORS

THINGS TO LOOK FOR IN A PERFORMANCE EVALUATION FORM

- THE NUMBER OF CRITERIA
- THE SPECIFICITY OF THE CRITERIA
- THE PRESENCE OF A SCALE
- THE NUMBER OF SCALE VALUES
- THE "BALANCE OF THE SCALE"
- THE EXTENT OF ANCHORING
- SPACE FOR COMMENTS
- THE PLANNING/DEVELOPMENT COMPONENT
- SIGNATURES OF RATER AND RATEE

CRITIQUE SHEET

HOW TO USE THIS SHEET

STUDY EACH OF THE FORMS YOU HAVE BEEN GIVEN CONSIDERING THE FACTORS LISTED BELOW. USING THE SCORING GUIDE FOR CRITIQUE SHEET INCLUDED ON THE NEXT TWO PAGES, SCORE EACH OF THE SAMPLE PERFORMANCE EVALUATION FORMS. WRITE YOUR SCORE OF "0" OR "1" IN THE BOXES BENEATH EACH FORM.

FACTORS	FORM A.	FORM B.	FORM C.	FORM D.
1. NUMBER OF CRITERIA				
2. SPECIFICITY				
3. PRESENCE OF A SCALE				
4. NUMBER OF SCALE VALUES				
5. "BALANCE" OF THE SCALE				
6. EXTENT OF ANCHORING				
7. SPACE FOR COMMENTS				
8. PLANNING/DEVELOPMENT				
9. SIGNATURES				

COMMENTS ON FORM A.

COMMENTS ON FORM B.

COMMENTS ON FORM C.

COMMENTS ON FORM D.

SCORING GUIDE FOR CRITIQUE SHEET

1. NUMBER OF CRITERIA

   SCORE "0" IF THERE ARE FEWER THAN TEN OR MORE THAN TWENTY-FIVE CRITERIA

   SCORE "1" IF THERE ARE BETWEEN TEN AND TWENTY-FIVE CRITERIA

2. SPECIFICITY OF CRITERIA

   SCORE "0" IF CRITERIA ARE GENERAL, E.G., QUALITY OR QUANTITY OF WORK

   SCORE "1" IF CRITERIA REFER TO SPECIFIC BEHAVIORS, E.G., ABSEENTEEISM OR CARE OF EQUIPMENT

3. PRESENCE OF A SCALE

   SCORE "0" IF THERE IS NO SCALE, E.G., AN ESSAY-TYPE FORMAT

   SCORE "1" IF THERE IS A SCALE, EVEN A YES-NO SCALE

4. NUMBER OF SCALE VALUES

   SCORE "0" IF THERE ARE FEWER THAN FOUR OR MORE THAN TEN SCALE VALUES

   SCORE "1" IF THERE ARE BETWEEN FOUR AND TEN SCALE VALUES

5. "BALANCE" OF THE SCALE

   SCORE "0" IF THE SCALE IS NOT PERFECTLY BALANCED, I.E., IF THERE IS NOT AN EQUAL NUMBER OF "ABOVE AVERAGE" AND "BELOW AVERAGE"

   SCORE "1" IF THE SCALE IS PERFECTLY BALANCED

6. EXTENT OF ANCHORING

   SCORE "0" IF THE SCALE IS NOT ANCHORED AT ALL, E.G., IF THE RATER IS LEFT TO HIS/HER OWN DISCRETION IN DEFINING SUCH TERMS AS "AVERAGE" OR "ABOVE AVERAGE"

   SCORE "1" IF THE SCALE IS ANCHORED

SCORING GUIDE -- CONTINUED

7. SPACE FOR COMMENTS

SCORE "0" IF THERE IS NO SPACE FOR COMMENTS

SCORE "1" IF THERE IS SPACE FOR COMMENTS

8. PLANNING/DEVELOPMENT COMPONENT

SCORE "0" IF THERE IS NO SPACE ALLOCATED FOR A DEVELOPMENTAL PLAN

SCORE "1" IF SPACE IS ALLOCATED FOR A DEVELOPMENTAL PLAN

9. SIGNATURES

SCORE "0" IF THERE IS NO SPACE FOR AN EMPLOYEE (RATEE) SIGNATURE

SCORE "1" IF THERE IS SPACE FOR THE RATEE'S SIGNATURE

FORM A.

EMPLOYEE PERFORMANCE APPRAISAL

NAME OF EMPLOYEE	OFFICE	
SOCIAL SECURITY NUMBER	CLASS NUMBER & TITLE	SECTION
TIME PERIOD COVERED	TYPE OF APPRAISAL ANNUAL ☐ SPECIAL ☐	DATE OF REVIEW

I APPRAISAL OF PERFORMANCE:

A WAS THE REGULAR DAY TO DAY WORK DONE AS EXPECTED?
YES ☐ NO ☐ PARTIALLY ☐

B WERE THE MAJOR RESULTS REQUIRED OF THIS POSITION ACHIEVED?
YES ☐ NO ☐ PARTIALLY ☐

C TO WHAT EXTENT AND HOW WELL WERE THEY ACHIEVED?

D IF THERE WERE PROBLEMS WHAT ACTIONS WERE TAKEN?

E WHAT IMPROVEMENT IS NEEDED IN THIS AREA?

II APPRAISAL OF WORKING RELATIONSHIPS:

A HOW WELL DID THE EMPLOYEE ESTABLISH AND MAINTAIN RELATIONSHIPS WITH OTHER PEOPLE THAT WERE NECESSARY TO GETTING RESULTS IN THIS JOB?

B IF THERE WERE PROBLEMS WHAT ACTION WAS TAKEN?

C WHAT IMPROVEMENT IS NEEDED IN THIS AREA?

III EMPLOYEE DEVELOPMENT:

A LIST DEVELOPMENTAL OPPORTUNITIES PLANNED WITH THIS EMPLOYEE

1 FOR IMPROVEMENT ON PRESENT JOB

FORM A. -- CONTINUED

III EMPLOYEE DEVELOPMENT (CONT'D)

A. LIST DEVELOPMENTAL OPPORTUNITIES PLANNED WITH THIS EMPLOYEE:
2. FOR ADVANCEMENT:

IV SUMMARY APPRAISAL:

V EMPLOYEE COMMENTS:

A WHAT STEPS CAN YOU TAKE TO IMPROVE YOUR PERFORMANCE?

B WHAT ASSISTANCE DO YOU NEED FROM YOUR SUPERVISOR TO IMPROVE YOUR PERFORMANCE?

C WHAT ADDITIONAL TRAINING WILL ASSIST YOU IN IMPROVING YOUR JOB PERFORMANCE?

FORM B.

PERFORMANCE EVALUATION REVIEW

EMPLOYEE'S NAME	DIVISION	DEPARTMENT	DATE EMPLOYED
EMPLOYEE'S POSITION	CLASS		

INSTRUCTIONS: Employee's evaluation should be expressed in numerical terms and based on definitions of ratings shown hereunder.

(0-49 Failing*) (50-59 - Poor*) (60-69 Fair) (70-84 : Good) (85-94 = Very Good) (95-100 : Exceptional)

			PERFORMANCE RATING
1.	ATTENDANCE	Is employee ever absent without good cause?	
2.	INITIATIVE	Is employee a self-starter? Does he keep busy?	
3.	COOPERATION	Does employee work well with others?	
4.	ABILITY TO LEARN	Does employee follow instructions and remember well?	
5.	ADAPTABILITY	Can employee satisfactorily handle assignments and accept working conditions?	
6.	APPEARANCE	Does employee dress appropriately for the job and maintain well-groomed appearance at all times, consistent with occupation?	
7.	DEPENDABILITY	Can employee be relied upon to do the job assigned?	
8.	JOB KNOWLEDGE	Is employee well qualified for the job?	
9	ATTITUDE	Is employee happy with his work: does he accept City policies?	
10.	QUALITY OF WORK	Is employee neat and accurate in his work?	
11.	QUANTITY OF WORK	Is the amount produced consistent with the standards established for the nature of the work?	

*ADDITIONAL COMMENTS:
*NECESSARY IN CASES OF FAILING & POOR:

IN YOUR OPINION IS THIS EMPLOYEE PROPERLY PLACED? YES ________ NO* ________

RATER		SUPERVISOR	
TITLE	DATE	TITLE	DATE
APPOINTING AUTHORITY (OR ALTERNATE)		THIS REPORT HAS BEEN DISCUSSED WITH ME. MY SIGNATURE DOES NOT NECESSARILY MEAN I AGREE WITH RATINGS.	
TITLE	DATE	EMPLOYEE'S SIGNATURE	DATE

FORM C.

EMPLOYEE EVALUATION REPORT

EMPLOYEE'S NAME POSITION TITLE AND NUMBER LOCATION

RATING PERIOD ENDING DEPARTMENT DIVISION SECTION UNIT

RATE COMPETENT
EACH IMPROVEMENT NEEDED
FACTOR UNSATISFACTORY

1. QUANTITY ☐ ☐ ☐
Amount of work performed
Completion of work on schedule

2. QUALITY ☐ ☐ ☐
Accuracy
Neatness of work product
Thoroughness
Oral expression
Written expression

3. WORK HABITS ☐ ☐ ☐
Observance of working hours
Attendance
Observance of rules including safety
Economy of time and material
Compliance with work instructions
Orderliness in work
Application to duties

4. PERSONAL RELATIONS ☐ ☐ ☐
Getting along with fellow employees
Meeting and handling the public
Personal appearance

5. ADAPTABILITY ☐ ☐ ☐
Performance in new situations
Performance in emergencies
Performance with minimum instructions
Initiative

6. OTHER (Specify) ☐ ☐ ☐

7. SUPERVISORY ABILITY ☐ ☐ ☐
(ONLY FOR SUPERVISORS)
Ability to get work out
Planning and assigning
Training and instructing
Disciplinary control
Evaluating performance
Making decisions
Fairness and impartiality
Approachability
Leadership

OVER-ALL EVALUATION

UNSATISFACTORY	IMPROVEMENT NEEDED	COMPETENT

This report is based on my observation and/or knowledge. It represents my best judgment of the employee's performance.

RATER DATE

I have reviewed this report.

REVIEWER DATE

Copy of report given or sent to employee. DATE

COMMENTS space may be used to describe employee's strengths and weaknesses and give examples of work well done and plans for improving performance. Use of comments is optional with rater.

COMMENTS BY RATER

EMPLOYEE'S REMARKS

I have received a copy of this report.

EMPLOYEE'S SIGNATURE DATE

FORM D.

EMPLOYEE PERFORMANCE EVALUATION

NAME: ______________________________

SUPERVISOR'S NAME: ______________________________

PERIOD COVERED: __________ TO __________

JOB TITLE: ______________________________

NUMBER OF MONTHS IN PRESENT POSITION: __________ MONTHS

NOTE: PERSON BEING RATED WILL HAVE BEEN UNDER THE DIRECT SUPERVISION OF THE RATING SUPERVISOR FOR AT LEAST 30 DAYS. OTHERWISE FORMER SUPERVISOR WILL EVALUATE.

The purpose of this performance evaluation scale is to provide you with an objective way of evaluating the performance of clerk-typists and secretaries reporting to you. The rating scales which follow have been designed to help you rate performance in fifteen (15) areas which have been consistently identified as important aspects of clerk-typist and secretarial performance.

The rating process is simple. Consider the individual to be rated and give a rating on each of the 15 aspects of performance. You will notice that each of the 15 aspects is defined for you. You will rate each person by describing how well the person typically performs each job aspect. When rating the person, keep in mind the definition of the aspect being rated.

You will notice that the rating scale is made up of a vertical line which has been numbered from 1 through 9. The purpose of the job performance examples is to tell you exactly what level of performance is indicated by the varous points along the scale. In other words, we are trying to give you an idea of the behavior represented by a 7 or a 4 or a 2 on the scale.

[ONLY THE FIRST CRITERION IS PRESENTED. CRITERIA TWO THROUGH FIFTEEN FOLLOW THE SAME FORMAT AS CRITERION ONE.]

CRITERION ONE -- SHOWING CREATIVITY ON THE JOB

This job aspect involves recognizing problems or goals not yielding to present methods of solution, identifying the relationships between key elements involved, identifying solutions and answers and sharing them with others, and following through or implementing the solution to be sure it truly solves the problem.

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED OUTSTANDING ON CREATIVITY BY MOST RATERS.	9	Other secretaries seek his/her opinion on new ideas and techniques
	8	
	7	Encourages others to generate new ideas
	6	
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED AVERAGE ON CREATIVITY BY MOST RATERS.	5	Sees relationships among factors and comes up with workable ideas.
	4	
	3	
	2	Finds fault with techniques or procedures but does nothing about them
THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED LOW ON CREATIVITY BY MOST RATERS.	1	Resists new ideas and techniques

GENERAL COMMENTS BY THE RATER: *(Note areas of weak and strong performance. Outline a plan for improving performance. Be specific concerning what will be done, by whom, and when in this plan.)*

EMPLOYEE COMMENTS: *(Note any areas of disagreement or incidents of importance not covered above.)*

RATER'S SIGNATURE:________________________________ DATE:__________

REVIEWER'S SIGNATURE:_____________________________ DATE:__________

EMPLOYEE'S SIGNATURE:_____________________________ DATE:__________

REQUEST FOR FORMAL REVIEW OF THIS REPORT

IF THE EMPLOYEE WISHES TO DISCUSS THIS REPORT OR SOME OTHER MATTER WITH SOMEONE OTHER THAN THE RATING SUPERVISOR, PLEASE CHECK THE FOLLOWING BOX.

☐ *I WOULD LIKE TO DISCUSS THIS REPORT OR OTHER MATTERS WITH SOMEONE OTHER THAN MY RATING SUPERVISOR.*

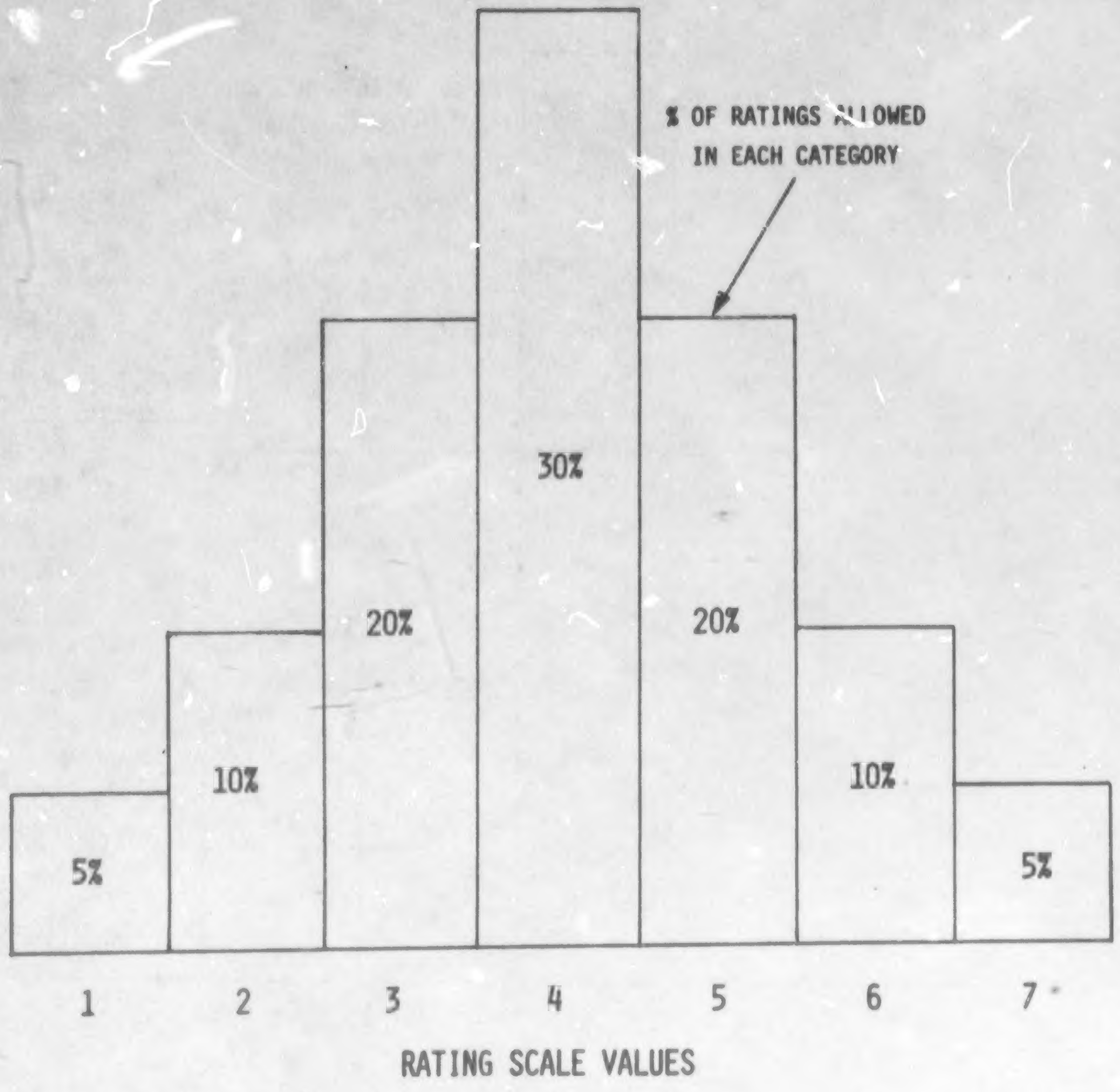
PERFORMANCE EVALUATION METHODS

VERY SUBJECTIVE APPROACHES

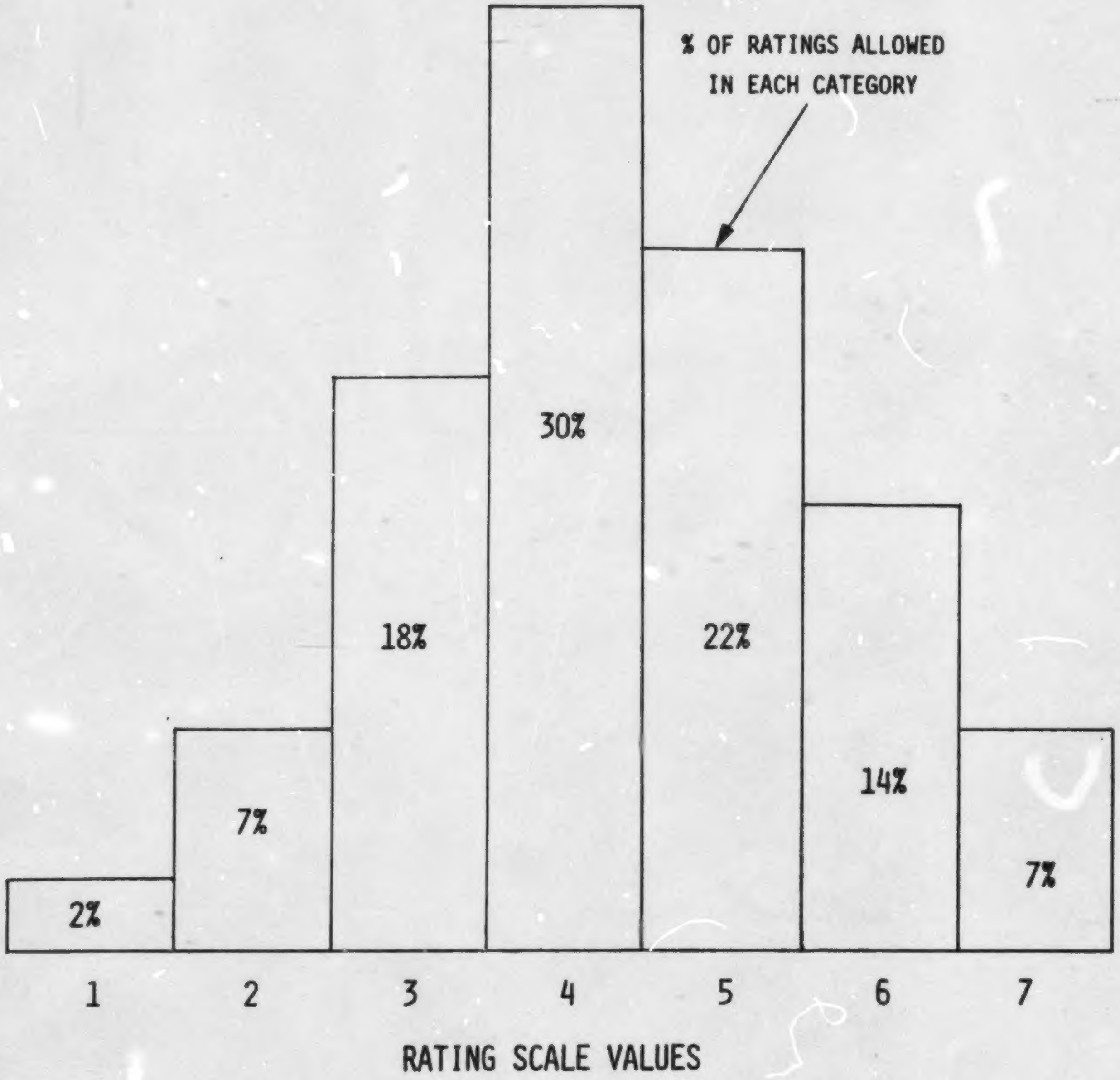
- RANKING
- ESSAY
- FORCED DISTRIBUTION
- NON-ANCHORED RATING SCALES

LESS SUBJECTIVE APPROACHES

- FORCED CHOICE
- WEIGHTED CHECKLIST
- CRITICAL INCIDENT
- BEHAVIORAL ANCHORS



EXAMPLE OF A FORCED DISTRIBUTION



ANOTHER EXAMPLE OF A FORCED DISTRIBUTION

DEVELOPING A FORCED-CHOICE SCALE

1. OBTAIN STATEMENTS ABOUT THE JOB PERFORMANCE OF GOOD AND POOR PERFORMERS FROM PERSONS FAMILIAR WITH THE JOB. THIS ASSURES THAT OUR INSTRUMENT WILL BE JOB RELATED.

2. DETERMINE THE DEGREE THAT AN ITEM DIFFERENTIATES BETWEEN GOOD PERFORMERS AND POOR PERFORMERS. THIS IS CALLED THE PERFORMANCE INDEX OR DISCRIMINATION INDEX OF AN ITEM.

3. DETERMINE THE DEGREE TO WHICH AN ITEM IS SEEN AS A FAVORABLE OR AN UNFAVORABLE STATEMENT TO MAKE ABOUT AN EMPLOYEE. THIS IS CALLED THE DESIRABILITY INDEX.

4. DEVELOP CLUSTERS OF ITEMS THAT DIFFER IN DISCRIMINATION BUT ARE SIMILAR IN DESIRABILITY. THIS MAKES THE RATER'S JOB MORE DIFFICULT SINCE THE RATER CAN NOT SIMPLY PICK THOSE ITEMS THAT "SOUND GOOD" SINCE ALL THE ITEMS IN A GROUP SHOULD "SOUND EQUALLY GOOD".

FORCED-CHOICE PERFORMANCE EVALUATION

DIRECTIONS:

THIS PERFORMANCE EVALUATION INSTRUMENT CONTAINS NINETEEN SETS OF DESCRIPTIVE PHRASES. EACH SET CONTAINS FOUR PHRASES ALL OF WHICH ARE POSITIVE IN NATURE.

AS YOU READ THE PHRASES IN EACH SET, FOCUS YOUR ATTENTION ON THE POLICE OFFICER YOU ARE EVALUATING; AND, IN YOUR BEST JUDGEMENT, SELECT THE TWO PHRASES THAT COME THE CLOSEST TO DESCRIBING THE TRAITS OR PERFORMANCE OF THIS OFFICER.

YOU MAY FIND THAT AN OFFICER IS VERY MUCH LIKE ALL FOUR AREAS OR QUALITIES DESCRIBED IN A SET OF PHRASES. OR YOU MAY FIND THAT THE OFFICER IS NOT VERY SIMILAR TO ANY OF THE PHRASES. HOWEVER, YOU MUST SELECT TWO, AND ONLY TWO, OF THE PHRASES IN EACH SET.

1. A. THE ACTIVITY THAT HE GETS IS GOOD.
   B. KEEPS HIS EQUIPMENT IN GOOD CONDITION.
   C. ALWAYS SATISFIES HIS CURIOSITY.
   D. DOESN'T TAKE SIDES IN DISPUTES.

2. A. COMPLETELY SATISFIES HIS CURIOSITY WITH EACH SUSPICIOUS CONTACT.
   B. VERY SELDOM OFFENDS THE PERSON BEING ARRESTED WHEN MAKING AN ARREST.
   C. VERY FAIR IN HIS ENFORCEMENT OF THE LAW.
   D. IS CONFIDENT IN HIS KNOWLEDGE OF LAW ENFORCEMENT.

3. A. UNAFRAID OF RESPONSIBILITY.
   B. WHEN MAKING AN ARREST HE MAKES THE PERSON FEEL HE IS ONLY DOING HIS JOB AS A POLICE OFFICER.
   C. DOES NOT BELITTLE FELLOW OFFICERS BY HIS REMARKS.
   D. IS ABLE TO ASSESS A SITUATION RAPIDLY.

4. A. IS LEVEL HEADED.
   B. HE HAS AN AIR OF CONFIDENCE.
   C. HE HAS MADE POLICE WORK A CAREER.
   D. HE HAS A GOOD PERSONALITY.

5. A. WELL LIKED AND VERY WELL RESPECTED BY THE TOWN CITIZENS.
   B. IS A GOOD BACK-UP MAN.
   C. IS SELF-ASSURED AND FIRM WHEN HE KNOWS HE IS RIGHT.
   D. VERY PROUD OF HIS FAMILY.

DEVELOPMENT OF A WEIGHTED CHECKLIST SCALE

1. OBTAIN STATEMENTS ABOUT THE JOB FROM PERSONS FAMILIAR WITH THE JOB (JOB INCUMBENTS AND SUPERVISORS)
2. HAVE JUDGES (SUPERVISORS AND JOB INCUMBENTS WHO ARE FAMILIAR WITH THE JOB) EVALUATE THE PERFORMANCE VALUE OF EACH STATEMENT ON A TEN POINT SCALE
3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR PERFORMANCE VALUE

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE ITEMS WITHOUT THE SCALE VALUES. THE PERSON'S PERFORMANCE EVALUATION SCORE IS THE AVERAGE OF ALL THE ITEMS CHECKED.

WEIGHTED CHECKLIST PERFORMANCE EVALUATION SCALE

PLEASE CHECK ALL THOSE ITEMS WHICH ARE TYPICAL OF THE PERSON BEING RATED. YOU MUST CHECK AT LEAST SIX OF THE ITEMS.

		SCALE VALUE
___	ABLE TO INVOLVE WHOLE GROUP IN PROBLEM SOLVING	6.7
___	EXPECTS TOO MUCH OF EMPLOYEES	2.2
___	WRITTEN REPORTS ARE OF UNIFORM HIGH QUALITY	8.9
___	ACCURATELY FORECASTS BUDGET NEEDS	7.8
___	EMPLOYEES ENJOY WORKING FOR HIM/HER	7.6
___	LACKS A LONG RANGE VIEWPOINT	3.5
___	CRITICIZES EMPLOYEES UNNECESSARILY	0.3
___	CONSULTS WITH OTHER MANAGERS WHEN MAKING SCHEDULES	7.4
___	TARDY IN COMPLETING PAPERWORK	2.5
___	CONDUCTS PERFORMANCE EVALUATIONS WITH EACH EMPLOYEE	7.7
___	CAN USUALLY CALM UPSET CITIZENS	6.3
___	HAS ORIGINATED NEW APPROACHES TO THE JOB	6.4
___	KEEPS BUSY BUT DOENS'T SET PRIORITIES	3.1

NOTE -- DO NOT SHOW SCALE VALUES TO RATERS

DEVELOPMENT OF A CRITICAL INCIDENT SCALE

1. OBTAIN STATEMENTS ABOUT SUCCESSFUL AND UNSUCCESSFUL PERFORMANCE FROM JOB INCUMBENTS AND SUPERVISORS. FOR EXAMPLE, ASK FOR ILLUSTRATIONS OF EFFECTIVE BEHAVIORS WHICH RESULTED IN SUCCESSFUL JOB PERFORMANCE AND INEFFECTIVE BEHAVIORS WHICH RESULTED IN UNSUCCESSFUL JOB PERFORMANCE.

2. HAVE JOB INCUMBENTS AND SUPERVISORS GROUP THE STATEMENTS INTO TEN TO TWENTY GENERAL CATEGORIES DESCRIBING JOB BEHAVIOR.

3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR CATEGORY.

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE CATEGORIES AND INCIDENTS. THE PERSON'S PERFORMANCE EVALUATION SCORE IS THE SUM OF ALL THE ITEMS CHECKED.

CRITICAL INCIDENT PERFORMANCE EVALUATION SCALE

CATEGORY -- PROFESSIONAL OBJECTIVITY AND INTEGRITY

1. PRESENTED FACTS WITHOUT BIAS (E.G., ADMITTED ERRORS, DIDN'T MAKE STATEMENTS NOT WARRANTED BY THE DATA).

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

2. MADE DECISIONS OR GAVE DIRECTIONS IN AREAS IN WHICH HE/SHE LACKED KNOWLEDGE.

5	4	3	2	1
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

3. RECOGNIZED OWN LIMITATIONS (E.G., ACKNOWLEDGED AREAS OUTSIDE OWN EXPERTISE).

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

4. RECONSIDERED HIS/HER POSITION IN FACE OF NEW OR CONTRADICTORY DATA.

1	2	3	4	5
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

5. ALLOWED OWN PERSONAL BIAS TO INFLUENCE RESULTS AND/OR CONCLUSIONS.

5	4	3	2	1
ALMOST NEVER	SELDOM	SOMETIMES	GENERALLY	ALMOST ALWAYS

TOTAL = ______

DEVELOPMENT OF A BEHAVIORAL ANCHOR SCALE

1. OBTAIN STATEMENTS ABOUT SUCCESSFUL AND UNSUCCESSFUL PERFORMANCE FROM JOB INCUMBENTS AND SUPERVISORS. FOR EXAMPLE, ASK FOR ILLUSTRATIONS OF EFFECTIVE BEHAVIORS WHICH RESULTED IN SUCCESSFUL JOB PERFORMANCE AND INEFFECTIVE BEHAVIORS WHICH RESULTED IN UNSUCCESSFUL JOB PERFORMANCE.
2. HAVE JOB INCUMBENTS AND SUPERVISORS GROUP THE STATEMENTS INTO TEN TO TWENTY GENERAL CATEGORIES DESCRIBING JOB BEHAVIOR.
3. RETAIN THOSE ITEMS ON WHICH THE JUDGES AGREE REGARDING THEIR CATEGORY.
4. JOB INCUMBENTS AND SUPERVISORS RATE EACH OF THE RETAINED ITEMS ON A FIVE-POINT (OR SEVEN-POINT OR NINE-POINT) POOR TO GOOD PERFORMANCE SCALE. ITEMS ARE ELIMINATED WHEN THE JUDGES CAN NOT AGREE ON THEIR VALUE.

AT PERFORMANCE EVALUATION TIME, PROVIDE THE RATERS WITH A LIST OF THE CATEGORIES AND INCIDENTS GROUPED BY SCALE VALUE. THE PERSON'S PERFORMANCE EVALUATION SCORE IS THE AVERAGE OF ALL THE ITEMS CHECKED.

BEHAVIORAL ANCHOR PERFORMANCE EVALUATION SCALE

CRITERION TEN -- JUMPING ABILITY

This job aspect involves recognizing obstacles in one's path and adjusting one's speed and height of jump to clear obstacles.

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED OUTSTANDING ON JUMPING ABILITY BY MOST RATERS.

9 Leaps tall buildings with a single bound

8

7 Must take a running start to leap over tall buildings

6

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED AVERAGE ON JUMPING ABILITY BY MOST RATERS.

5 Can leap over medium buildings of ten stories or less

4

3

THIS STATEMENT DESCRIBES PERSONS WHO ARE USUALLY RATED LOW ON JUMPING ABILITY BY MOST RATERS.

2 Crashes into buildings when attempting to leap over them

1 Can not recognize buildings and can't jump either

0 Not applicable or no opportunity to observe

GENERATING CRITICAL INCIDENTS

SITUATION: WE WANT TO DEVELOP A BEHAVIORALLY ANCHORED PERFORMANCE EVALUATION SCALE FOR THE CLERICAL AND SECRETARIAL STAFF. WE WILL BE INTERVIEWING EACH OTHER TO DEVELOP THE SCALE.

INTERVIEW QUESTIONS

PLEASE GIVE THREE INCIDENTS OF EFFECTIVE AND THREE INCIDENTS OF INEFFECTIVE BEHAVIOR WHICH YOU HAVE SEEN RESULT IN SUCCESSFUL OR UNSUCCESSFUL JOB PERFORMANCE. FOR EACH INCIDENT RECORD ANSWERS TO THE FOLLOWING QUESTIONS:

(1) WHAT WERE THE CIRCUMSTANCES SURROUNDING THE INCIDENT?

(2) EXACTLY WHAT DID THE SECRETARY/CLERK DO?

(3) HOW IS THIS AN EXAMPLE OF EFFECTIVE OR INEFFECTIVE BEHAVIOR?

SAMPLE OF A CRITICAL INCIDENT

(1) WHAT WERE THE CIRCUMSTANCES?

IRRITATED CLIENT CALLED AND DEMANDED TO SPEAK WITH THE AGENCY HEAD. CLIENT COMPLAINED TO THE SECRETARY OF AGENCY INEFFICIENCY AND OF "GETTING THE RUN-AROUND".

(2) EXACTLY WHAT DID THE SECRETARY DO?

INSTEAD OF TRANSFERRING THE CALL TO THE AGENCY HEAD, THE SECRETARY ATTEMPTED TO FIND OUT EXACTLY WHAT HAD HAPPENED TO THE IRRITATED CLIENT. THE SECRETARY DISCOVERED THAT THE CLIENT HAD BEEN SEEKING ASSISTANCE IN THE WRONG DEPARTMENT AND TRANSFERRED THE CLIENT TO THE CORRECT PERSON AFTER OBTAINING THE CLIENT'S NAME AND PHONE NUMBER. LATER THE SECRETARY CALLED THE CLIENT TO SEE IF THE PROBLEM HAD BEEN SOLVED.

(3) HOW IS THIS AN EXAMPLE OF EFFECTIVE BEHAVIOR?

THE SECRETARY ATTEMPTED TO SOLVE THE SITUATION RATHER THAN IMMEDIATELY HANDING IT TO HIS SUPERVISOR. ALSO THE SECRETARY TREATED THE CLIENT AS AN INDIVIDUAL RATHER THAN AS A NUMBER.

RATING SCALE VALUES

1. UNACCEPTABLE BEHAVIOR. THE "1" EMPLOYEE IS UNSATISFACTORY. THE UNIT WOULD BE MUCH BETTER OFF WITHOUT THIS EMPLOYEE.

2. BELOW JOB STANDARDS. THE "2" EMPLOYEE NEEDS TO IMPROVE. THE "2" EMPLOYEE EXCEEDS THE "1" SINCE HE/SHE IS OF SOME HELP TO THE UNIT.

3. MEETS JOB STANDARDS. THE "3" EMPLOYEE PERFORMS THE JOB SATISFACTORILY.

4. EXCEEDS JOB STANDARDS. THE "4" EMPLOYEE GOES BEYOND THE ROUTINE ACCOMPLISHMENT OF THE JOB.

5. OUTSTANDING PERFORMANCE. THE "5" EMPLOYEE FAR EXCEEDS THE JOB STANDARDS. HE/SHE IS ONE OF THE TOP PERFORMERS IN THE UNIT.

CATEGORY -- ABILITY TO ADAPT TO NEW AND DIFFERENT SITUATIONS

PLEASE GIVE EACH OF THE FOLLOWING CRITICAL INCIDENTS A SCALE VALUE OF 1, 2, 3, 4, OR 5 USING THE RATING SHEET PROVIDED.

RATING CRITICAL INCICENT

___ 1. DEDICATED TO AND DOES AN OUTSTANDING JOB IN NEW AND DIFFERENT SITUATIONS
___ 2. READILY ACCEPTS NEW OR DIFFERENT TASKS
___ 3. TENDS TO IGNORE NEW FINDINGS, TECHNIQUES, AND PROCEDURES
___ 4. PANICS AND/OR LEAVES NEW OR DIFFERENT SITUATIONS
___ 5. WILLING TO USE NEW FINDINGS OR IDEAS ONLY IF THEY ARE PROVEN TO HIM/HER
___ 6. RESPONDS TO CRISES EVENTS QUICKLY AND EFFECTIVELY
___ 7. RECOGNIZES THE NEW AND DIFFERENT AND TAKES APPROPRIATE ACTION
___ 8. KNOWS AND APPLIES NEW FINDINGS, DEVELOPMENTS, OR TECHNOLOGY
___ 9. FLEXIBLE IN RESPONDING TO THE NEW AND DIFFERENT
___ 10. CONSISTENTLY PROFITS FROM NEW, UNEXPECTED, AND DIFFICULT SITUATIONS
___ 11. KNOWS WHEN TO SEEK OUT SOMEONE MORE QUALIFIED TO HELP
___ 12. NEEDS CONSTANT SUPERVISION IN NEW OR DIFFERENT SITUATIONS
___ 13. JUMPS TO ERRONEOUS CONCLUSIONS OR ACTIONS IN NEW SITUATIONS
___ 14. INCORPORATES CHANGES AND NEW DEVELOPMENTS INTO WORK TO SPEED ACCOMPLISHMENT
___ 15. NEEDS INSTRUCTIONS OR TRAINING BUT THEN ADAPTS TO NEW SITUATIONS READILY
___ 16. BECOMES BOGGED DOWN OR DISORGANIZED IN NEW SITUATIONS
___ 17. WILL NOT OR CAN NOT ADAPT TO CHANGING PROCEDURES
___ 18. RECOGNIZES AND AVOIDS POTENTIAL PROBLEMS IN NEW SITUATIONS
___ 19. IS FAR AHEAD OF PEERS IN USING NEW FINDINGS, TECHNIQUES, OR PROCEDURES
___ 20. WILLING TO USE NEW FINDINGS OR IDEAS ONLY IF THEY ARE PROVEN TO HIM/HER
___ 21. FEELS ANYTHING NEW IS A THREAT TO HIS/HER SECURITY
___ 22. ALWAYS LOOKING FOR A WAY TO AVOID THE NEW OR DIFFERENT
___ 23. APPROACHES NEW PROBLEMS OR SITUATIONS WITH INAPPROPRIATE METHODS

MODULE TWO POST-TEST

MULTIPLE-CHOICE QUESTIONS

Below are a number of multiple choice questions on the performance evaluation process. For each question, please circle the letter (a.,b.,c.,d., or e.)of that word or phrase which, when added to the incomplete statement, gives the best answer.

1. A performance evaluation technique which is specifically designed to overcome the problem of faked ratings is:
   - a. Multiple raters
   - b. Behavioral anchor
   - c. Essay
   - d. Forced choice
   - e. Weighted checklist
2. Which of the following is the best example of the type of statement to be found in a behavioral anchor evaluation instrument?
   - a. Meets job standards in every way
   - b. Above average in quality and quantity of work
   - c. Willing to work more than 8 hours if requested
   - d. Has very positive attitude towards the organization
   - e. Far below average and should be terminated
3. If you find that your raters tend to rate all employees far too easily with the result that the average rating received is 8.5 on a 9-point scale, one step you might take to improve the ratings of all raters is to use:
   - a. Ranking instead of rating
   - b. Forced distribution
   - c. Central tendency
   - d. Contrast effects
   - e. Non-anchored rating scales

4. Which of the following methods would be considered a very subjective method of performance evaluation?

   a. Forced choice
   b. Essay
   c. Checklist
   d. Behaviorally anchored
   e. None

5. Development of indices of desirability and discrimination would most likely be found in the development of which kind of rating method?

   a. Forced choice
   b. Essay
   c. Ranking
   d. Cricital incident
   e. Behavioral anchor

6. A critical incident approach to performance evaluation can easily lead to the development of which of the following methods?

   a. Forced choice
   b. Non-anchored approach
   c. Forced distribution approach
   d. Behavioral anchor approach
   e. Graphic rating scale

7. A group of supervisors and subordinates are involved in the process of defining specific circumstances related to job performance. Each circumstance includes a description of what the persons did and a statement explaining how this is an example of effective or ineffective behavior. What are these people doing?

   a. Developing a forced choice scale
   b. Conducting group-centered evaluations
   c. Specifying critical incidents
   d. Identifying training needs
   e. Developing guidelines for an essay-type evaluation

PERFORMANCE EVALUATION FACTORS

SELF-ASSESSMENT

Below are listed a series of statements about performance evaluation and related topics. For each statement please rate yourself in terms of your knowledge about the particular statement or your ability to do the behavior described by the statement. Please circle the letter that best describes your answer.

1. To what degree can you indicate the standards which are useful in evaluating performance evaluation forms?

A.	B.	C.	D.
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

2. To what degree can you outline the steps involved in developing the forced-choice method of performance evaluation?

A.	B.	C.	D.
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

3. To what degree can you outline the steps involved in developing the weighted-checklist method of performance evaluation?

A.	B.	C.	D.
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

4. To what degree can you outline the steps involved in developing the critical-incident method of performance evaluation?

A.	B.	C.	D.
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

5. To what degree can you outline the steps involved in developing the behavioral-anchor method of performance evaluation?

A.	B.	C.	D.
NOT AT ALL	*TO A VERY LOW DEGREE*	*TO A MODERATE DEGREE*	*TO A VERY HIGH DEGREE*

CHECKLIST QUESTIONS

The major performance evaluation techniques are:

(1) The ranking method
(2) The essay method
(3) Non-anchored rating scales
(4) Forced choice method
(5) Weighted checklist method
(6) Critical incident method
(7) Behavioral anchor method

Items A. to H. list criticisms or assumptions involved in the use of these methods. Place an "X" under the method if the criticism or assumption applies to that method. The first item is answered as an example. You will notice that there is an "X" under every column except for columns (1) and (4) since the Ranking method (1) and the Forced choice method (4) do not provide a high degree of feedback.

RANKING 1	ESSAY 2	NON-ANCHORED 3	FORCED CHOICE 4	CHECKLIST 5	CRITICAL INC. 6	BEHAVIORAL A. 7	
	X	X		X	X	X	A. Provide feedback
							B. Result in a numerical rating
							C. Very time consuming for the rater if done properly
							D. Focus on behavior only
							E. Much development time required
							F. Can be faked or distorted
							G. Requires actual observation of person being rated
							H. Criteria are definitely job related

ESSAY QUESTIONS

1. To analyze a specific performance evaluation instrument, what factors would you consider?

2. What is a critical indicent?

KEY TO PRE-TEST AND POST-TEST

MODULE TWO

MULTIPLE CHOICE

1. = d., 2. = c., 3. = b., 4. = b., 5. = a., 6. = d., 7. = c.

SELF ASSESSMENT

To score the self assessment use the following conversion:

A. = 1., B. = 2., C. = 3., D. = 4.

Sum the values for the letters you circled. For example, if you circled "C" for all the self assessment questions, your score would be 3 + 3 + 3 + 3 + 3 = 15.

CHECKLIST

The completed checklist is shown below. Give yourself one point for each correct check.

RANKING 1	ESSAY 2	NON-ANCHORED 3	FORCED CHOICE 4	CHECKLIST 5	CRITICAL INC. 6	BEHAVIORAL A. 7		
	X	X		X	X	X	A.	Provide feedback
x		x	x	x	x	x	B.	Result in a numerical rating
	x						C.	Very time consuming for the rater if done properly
			x	x	x	x	D.	Focus on behavior only
			x	x	x	x	E.	Much development time required
x	x	x	x	x	x	x	F.	Can be faked or distorted
x	x	x	x	x	x	x	G.	Requires actual observation of person being rated
			x	x	x	x	H.	Criteria are definitely job related

Module Two Scoring (Continued)

ESSAY

1. Allow one point for each of the following:

   Reliability or consistency, validity or job relatedness, number of criteria, specificity, presence of a scale, number of scale values, balance of the scale, extent of anchoring, space for comments, planning & development, signatures.

2. Allow two points if your answer contains the following idea:

   A critical incident refers to an example of "outstanding" behavior, either good or bad, related to success or failure on the job.

   These incidents are behaviors which are crucial (or critical) for success, or failure, on the job.

Please enter your scores for the pre-test and the post-test in the columns below.

MODULE TWO	PRE-TEST	POST-TEST
MULTIPLE CHOICE------------------------------	_____	_____
SELF ASSESSMENT------------------------------	_____	_____
CHECKLIST------------------------------------	_____	_____
ESSAY--	_____	_____
TOTAL-------	_____	_____